

THE ENCYCLOPEDIA OF
THE NOVEL



General Editor
Peter Melville Logan

Associate Editors
Olakunle George, Susan Hegeman, and Efraín Kristal

General Editor

Peter Melville Logan is Professor of English at Temple University, USA and Director of the Center for the Humanities at Temple. He specializes in nineteenth-century British literature, critical theory, the history of the novel, and the history of science. He is the author of *Victorian Fetishism: Intellectuals and Primitives* (2009) and *Nerves and Narratives: A Cultural History of Hysteria in Nineteenth-Century British Prose* (1997), as well as articles on Victorian popular culture, George Eliot, and Matthew Arnold.

Associate Editors

Olakunle George is Associate Professor of English and Africana Studies at Brown University, USA, where he teaches African literary and cultural studies, Afro-Diasporic cultural criticism, and Anglo-American literary theory. He is the author of *Relocating Agency: Modernity and African Letters* (2003) and articles in *Comparative Literature Studies*, *Diacritics*, *Novel: A Forum on Fiction*, and *Representations*.

Susan Hegeman is Associate Professor of English at the University of Florida, USA, where she specializes in twentieth-century American literature, popular culture, cultural history, and critical theory. She is the author of *Patterns for America: Modernism and the Concept of Culture* (1999) and *The Cultural Return* (forthcoming 2011).

Efraín Kristal is Chair of the Department of Comparative Literature at the University of California, Los Angeles, USA, where he is also Professor of Spanish and French. He is editor of *The Cambridge Companion to the Latin American Novel* (2005) and Jorge Luis Borges's *Poems of the Night* (2010), and the author of numerous books and articles on literature, translation studies, and aesthetics.

The Wiley-Blackwell Encyclopedia of Literature

www.literatureencyclopedia.com

The *Wiley-Blackwell Encyclopedia of Literature* is a comprehensive, scholarly, authoritative, and critical overview of literature and theory comprising individual titles covering key literary genres, periods, and sub-disciplines. Available both in print and online, this groundbreaking resource provides students, teachers, and researchers with cutting-edge scholarship in literature and literary studies.

Published:

The Encyclopedia of Literary and Cultural Theory, General Editor: Michael Ryan

The Encyclopedia of the Novel, General Editor: Peter Melville Logan

The Encyclopedia of Twentieth-Century Fiction, General Editor: Brian W. Shaffer

Forthcoming:

The Encyclopedia of English Renaissance Literature, General Editors: Garrett A. Sullivan, Jr. and Alan Stewart

The Encyclopedia of Romantic Literature, General Editor: Frederick Burwick

The Encyclopedia of the Gothic, General Editors: William Hughes, David Punter, and Andrew Smith

The Encyclopedia of Postcolonial Studies, General Editors: Sangeeta Ray and Henry Schwarz

The Encyclopedia of the Novel

*Edited by
Peter Melville Logan*

*Associate Editors:
Olakunle George, Susan Hegeman,
and Efraín Kristal*

Volume I

A–Li

Volume II

Lo–Z, Index

 **WILEY-BLACKWELL**

A John Wiley & Sons, Ltd., Publication

This edition first published 2011
© 2011 Blackwell Publishing Ltd

Blackwell Publishing was acquired by John Wiley & Sons in February 2007. Blackwell's publishing program has been merged with Wiley's global Scientific, Technical, and Medical business to form Wiley-Blackwell.

Registered Office

John Wiley & Sons Ltd, The Atrium, Southern Gate, Chichester, West Sussex, PO19 8SQ, United Kingdom

Editorial Offices

350 Main Street, Malden, MA 02148-5020, USA
9600 Garsington Road, Oxford, OX4 2DQ, UK
The Atrium, Southern Gate, Chichester, West Sussex, PO19 8SQ, UK

For details of our global editorial offices, for customer services, and for information about how to apply for permission to reuse the copyright material in this book please see our website at www.wiley.com/wiley-blackwell.

The right of Peter Melville Logan to be identified as the author of the editorial material in this work has been asserted in accordance with the UK Copyright, Designs and Patents Act 1988.

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted, in any form or by any means, electronic, mechanical, photocopying, recording or otherwise, except as permitted by the UK Copyright, Designs and Patents Act 1988, without the prior permission of the publisher.

Wiley also publishes its books in a variety of electronic formats. Some content that appears in print may not be available in electronic books.

Designations used by companies to distinguish their products are often claimed as trademarks. All brand names and product names used in this book are trade names, service marks, trademarks or registered trademarks of their respective owners. The publisher is not associated with any product or vendor mentioned in this book. This publication is designed to provide accurate and authoritative information in regard to the subject matter covered. It is sold on the understanding that the publisher is not engaged in rendering professional services. If professional advice or other expert assistance is required, the services of a competent professional should be sought.

Library of Congress Cataloging-in-Publication Data

The encyclopedia of the novel/edited by Peter Melville Logan;
Olakunle George, Susan Hegeman, and Efraín Kristal, associate editors.
v. cm.

Includes bibliographical references and index.

Contents: Introduction – v. 1. The novel A–Li – v. 2. The novel Lo–Z –
Indexes.

ISBN 978-1-4051-6184-8 (hardcover : alk. paper) 1. Fiction—
Encyclopedias. I. Logan, Peter Melville, 1951– II. George, Olakunle.
III. Hegeman, Susan, 1964– IV. Kristal, Efraín, 1959–
PN41.E485 2011
809.3'003–dc22

2010029410

A catalogue record for this book is available from the British Library.

Set in 10/12.5pt Minion by Thomson Digital, Noida, India

Contents

Volume I

Alphabetical List of Entries	vii
List of Entries by Topic	ix
Board of Advisors	xi
Contributors	xiii
Introduction	xvii
Acknowledgments	xxi

The Novel A–Li **1–502**

Volume II

<i>The Novel Lo–Z</i>	503–862
Index of Novelists	863
General Index	917

Alphabetical List of Entries

Adaptation/Appropriation	1	Domestic Novel	261
African American Novel	9	Early American Novel	263
Ancient Narratives of China	18	Eastern and Central Africa	267
Ancient Narratives of South Asia	28	Editing	272
Ancient Narratives of the West	35	Epic	281
Andes	47	Epistolary Novel	288
Anthropology	52	Feminist Theory	295
Arabic Novel (Mashreq)	57	Fiction	299
Asian American Novel	65	Figurative Language and Cognition	307
Author	69	Formalism	315
Authorship	73	Frame	320
Bakhtin, Mikhail	83	France (18th Century)	324
Baltic States	87	France (19th Century)	332
Bildungsroman/Künstlerroman	93	France (20th Century)	340
Brazil	97	Gender Theory	349
British Isles (18th Century)	105	Genre Theory	353
British Isles (19th Century)	115	German Novel	361
British Isles (20th Century)	124	Gothic Novel	369
Canada	135	Graphic Novel	374
Caribbean	144	Hebrew Novel	379
Censorship	153	Historical Novel	381
Central America	160	History of the Novel	386
Central Europe	165	Iberian Peninsula	399
Character	169	Ideology	413
China	178	Illustrated Novel	418
Class	188	Intertextuality	424
Closure	193	Iran	428
Cognitive Theory	197	Italy	432
Comedy and Tragedy	200	Japan	439
Comparativism	208	Jewish American Novel	450
Copyright/Libel	212	Journalism	455
Decadent Novel	219	Korea	460
Decorum/Verisimilitude	220	Latina/o American Novel	467
Definitions of the Novel	224	Libraries	472
Description	233	Life Writing	482
Detective Novel	241	Linguistics	486
Dialect	245	Low Countries (Europe)	491
Dialogue	250	Lukács, Georg	499
Dictatorship Novel	254	Magical Realism	503
Disability Theory	255	Marxist Theory	504
Discourse	256	Melodrama	508

Memory	510	Regional Novel	667
Metafiction	514	Religion	671
Mexico	515	Reprints	676
Modernism	520	Reviewing	684
Mythology	524	Rhetoric and Figurative Language	692
Narration	529	Romance	701
Narrative	533	Russia (18th–19th Century)	705
Narrative Perspective	540	Russia (20th Century)	716
Narrative Structure	545	Science Fiction/Fantasy	727
Narrative Technique	549	Serialization	730
Narrator	553	Sexuality	738
National Literature	562	South Asia	743
Naturalism	566	Southeast Asian Archipelago	750
North Africa (Maghreb)	571	Southeast Asian Mainland	757
Northern Europe	581	Southeastern Europe	761
Novel Theory (19th Century)	585	Southern Africa	768
Novel Theory (20th Century)	590	Southern Cone (South America)	780
Paper and Print Technology	596	Space	792
Parody/Satire	602	Speech Act Theory	796
Philosophical Novel	606	Story/Discourse	801
Photography and the Novel	611	Structuralism/Poststructuralism	805
Picaresque Novel	617	Surrealism/Avant-Garde Novel	809
Plot	621	Time	811
Psychoanalytic Theory	628	Translation Theory	817
Psychological Novel	633	Turkey	822
Publishing	638	Typography	827
Queer Novel	643	United States (19th Century)	833
Race Theory	648	United States (20th Century)	840
Reader	652	Western Africa	851
Reading Aloud	656	Yiddish Novel	859
Realism	660		

List of Entries by Topic

BOOK HISTORY

Adaptation/Appropriation 1
Authorship 73
Censorship 153
Copyright/Label 212
Editing 272
Illustrated Novel 418
Libraries 472
Paper and Print Technology 596
Publishing 638
Reading Aloud 656
Reprints 676
Reviewing 684
Serialization 730
Typography 827

CORRELATE AREAS

Anthropology 52
Journalism 455
Life Writing 482
Photography and the Novel 611
Religion 671

FORM

Author 69
Character 169
Closure 193
Decorum/Verisimilitude 220
Description 233
Dialect 245
Dialogue 250
Discourse 256
Figurative Language and Cognition 307
Frame 320
Intertextuality 424

Memory 510
Narration 529
Narrative 533
Narrative Perspective 540
Narrative Structure 545
Narrative Technique 549
Narrator 553
Parody/Satire 602
Plot 621
Reader 652
Rhetoric and Figurative Language 692
Space 792
Story/Discourse 801
Time 811
Translation Theory 817

GENRE

Ancient Narratives of China 18
Ancient Narratives of the West 35
Ancient Narratives of South Asia 28
Bildungsroman/Künstlerroman 93
Comedy and Tragedy 200
Decadent Novel 219
Detective Novel 241
Dictatorship Novel 254
Domestic Novel 261
Epic 281
Epistolary Novel 288
Gothic Novel 369
Graphic Novel 374
Historical Novel 381
Magical Realism 503
Melodrama 508
Metafiction 514
Modernism 520
Naturalism 566
Philosophical Novel 606

Picaresque Novel 617
 Psychological Novel 633
 Queer Novel 643
 Realism 660
 Regional Novel 667
 Romance 701
 Science Fiction/Fantasy 727
 Surrealism/Avant Garde Novel 809

HISTORY

African

Eastern and Central Africa 267
 North Africa (Maghreb) 571
 Southern Africa 768
 Western Africa 851

Asian

China 178
 Japan 439
 Korea 460
 South Asia 743
 Southeast Asian Mainland 757
 Southeast Asian Archipelago 750

European

British Isles (18th Century) 105
 British Isles (19th Century) 115
 British Isles (20th Century) 124
 Baltic States 87
 Central Europe 165
 France (18th Century) 324
 France (19th Century) 332
 France (20th Century) 340
 German Novel 361
 Iberian Peninsula 399
 Italy 432
 Low Countries (Europe) 491
 Northern Europe 581
 Russia (18th-19th Century) 705
 Russia (20th Century) 716
 Southeastern Europe 761
 Yiddish Novel 859

Latin American

Andes 47
 Brazil 97

Caribbean 144
 Central America 160
 Mexico 514
 Southern Cone (South America) 780

Middle Eastern

Arabic Novel (Mashreq) 57
 Hebrew Novel 379
 Iran 428
 Turkey 822

North American

African American Novel 9
 Asian American Novel 65
 Canada 135
 Early American Novel 263
 Jewish American Novel 450
 Latina/o American Novel 467
 United States (19th Century) 833
 United States (20th Century) 840

THEORY

Bakhtin, Mikhail 83
 Class 188
 Cognitive Theory 197
 Comparativism 208
 Definitions of the Novel 224
 Disability Theory 255
 Feminist Theory 295
 Fiction 299
 Formalism 315
 Gender Theory 349
 Genre Theory 353
 History of the Novel 386
 Ideology 413
 Linguistics 486
 Lukács, Georg 499
 Marxist Theory 504
 Mythology 524
 National Literature 562
 Novel Theory (19th Century) 585
 Novel Theory (20th Century) 590
 Psychoanalytic Theory 628
 Race Theory 648
 Sexuality 738
 Speech Act Theory 796
 Structuralism/Poststructuralism 805

Board of Advisors

Emily Apter, Professor of Comparative Literature and French, New York University.

Srinivas Aravamudan, Professor of English, Duke University.

Nancy Armstrong, Gilbert, Louis, and Edward Lehrman Professor of English, Duke University.

Daniel Balderston, Mellon Professor of Modern Languages, University of Pittsburgh.

Rita Barnard, Professor of English, University of Pennsylvania.

Ali Behdad, Professor of English, University of California, Los Angeles.

Michael Bell, Professor of English and Comparative Literary Studies, University of Warwick.

Timothy Bewes, Associate Professor of English, Brown University.

Peter Tracey Connor, Associate Professor of French and Romance Philology, Barnard College.

Nicholas Daly, Professor of English in the School of English, Drama, and Film, University College Dublin.

Nicholas Dames, Theodore Kahan Professor in the Humanities, Columbia University.

Deirdre David, Professor of English, Emeritus, Temple University.

Ann duCille, Professor of English and African American Studies, Wesleyan University.

Catherine Gallagher, Eggers Professor of English Literature, University of California, Berkeley.

Simon E. Gikandi, Robert Schirmer Professor of English, Princeton University.

Dorothy J. Hale, Professor of English, University of California, Berkeley.

Priya Joshi, Associate Professor of English, Temple University.

Deirdre Sabina Knight, Associate Professor of Chinese and Comparative Literature, Smith College.

Françoise Lionnet, Professor of French and Comparative Literature, University of California, Los Angeles.

Deidre Shauna Lynch, Chancellor Jackman Professor and Associate Professor of English, University of Toronto.

Douglas Mao, Professor of English, Johns Hopkins University.

John Marx, Associate Professor of English, University of California, Davis.

Sally Mitchell, Professor of English, Emeritus, Temple University.

James Phelan, Humanities Distinguished Professor of English, Ohio State University.

Andrew Plaks, Professor of East Asian Studies and Comparative Literature, Emeritus, Princeton University.

Leah Price, Professor of English, Harvard University.

John Richetti, A. M. Rosenthal Professor of English, Emeritus, University of Pennsylvania.

Bruce Robbins, Old Dominion Foundation Professor in the Humanities, Columbia University.

Jonathan Rose, William R. Kenan Professor of History, Drew University.

Sally Shuttleworth, Professorial Fellow in English, University of Oxford.

Helen Small, Professor of English, University of Oxford.

Leonard Tennenhouse, Professor of English, Duke University.

Lawrence Venuti, Professor of English, Temple University.

Phillip E. Wegner, Associate Professor of English, University of Florida.

Jeffrey Williams, Professor of English and Literary and Cultural Studies, Carnegie Mellon University.

Alex Woloch, Associate Professor of English, Stanford University.

Jonathan E. Zwicker, Associate Professor of Asian Languages and Cultures, University of Michigan.

Contributors

H. PORTER ABBOTT, *University of California, Santa Barbara*

TATJANA ALEKSIC, *University of Michigan*

NANCY ARMSTRONG, *Duke University*

KELLY AUSTIN, *University of Chicago*

RAZIF BAHARI, *Nanyang Technological University*

DANIEL BALDERSTON, *University of Pittsburgh*

DALE BAUER, *University of Illinois, Urbana-Champaign*

THOMAS BEEBEE, *Pennsylvania State University*

MICHAEL BELL, *University of Warwick*

FLORIN BERINDEANU, *Case Western Reserve University*

ALISTAIR BLACK, *Leeds Metropolitan University*

WILLIAM BLAZEK, *Liverpool Hope University*

ROY BOLAND, *University of Sydney*

JAMES BUZARD, *Massachusetts Institute of Technology*

ANDREA CABAJSKY, *University of Moncton*

DONNA CAMPBELL, *Washington State University*

ROBERT CASERIO, *Pennsylvania State University*

EVA CHERNIAVSKY, *University of Washington*

SAMANTHA DOWNES CLARK, *Harvard University*

EDITH CLOWES, *University of Kansas*

DEBORAH COHN, *Indiana University*

PETER CONNOR, *Columbia University*

DAVID CUNNINGHAM, *University of Westminster*

NICHOLAS DAMES, *Columbia University*

ROBERTO DIAZ, *University of Southern California*

MARGARET ANNE DOODY, *University of Notre Dame*

FLORENCE DORE, *Kent State University*

KATE DOUGLAS, *Flinders University*

EDWARD DUPUY, *Savannah College of Art and Design*

SCOTT ELLIS, *Southern Connecticut State University*

KIM EMERY, *University of Florida*

FRANCESCO ERSPAMER, *Harvard University*

DAVID FINKELSTEIN, *Queen Margaret University*

DEVIN FORE, *Princeton University*

KEN FRIEDEN, *Syracuse University*

JOHN FROW, *University of Melbourne*

CATHERINE GALLAGHER, *University of California, Berkeley*

NOURI GANA, *University of California, Los Angeles*

JARED GARDNER, *Ohio State University*

MICHAEL PELED GINSBURG, *Northwestern University*

MARIE-MADELEINE GLADIEU, *University of Reims*

MARGARET J. GODBEY, *Temple University*

JAAP GOEDEGEBUURE, *University of Leiden*

- ERDAG GOKNAR, *Duke University*
- JULIE O'LEARY GREEN, *Ohio State University*
- DAVID GREETHAM, *City University of New York*
- WEISHUN GUI, *University of California, Riverside*
- TODD HASAK-LOWY, *University of Florida*
- WAIL S. HASSAN, *University of Illinois, Urbana-Champaign*
- WILLIAM T. HENDEL, *University of Memphis*
- DAVID HERMAN, *Ohio State University*
- PETER HITCHCOCK, *City University of New York*
- DEBORAH JENSON, *University of Wisconsin-Madison*
- IRENE KACANDES, *Dartmouth College*
- CHELVA KANAGANAYAKAM, *University of Toronto*
- TIMOTHY KAPOSY, *George Mason University*
- ROSANNE KENNEDY, *Australian National University*
- RYAN KERNAN, *Rutgers University*
- ROBIN KINROSS, *Hyphen Press*
- ILYA KLIGER, *New York University*
- KATHLEEN L. KOMAR, *University of California, Los Angeles*
- KWAKU KORANG, *Ohio State University*
- CHRISTOPHER KRENTZ, *University of Virginia*
- EFRÁIN KRISTAL, *University of California, Los Angeles*
- ELISABETH LADENSON, *Columbia University*
- CAREN LAMBERT, *Russian-American Christian University*
- JAMES KYUNG-JIN LEE, *University of California, Irvine*
- MARKKU LEHTIMÄKI, *University of Tampere*
- CAROLYN LESJAK, *Simon Fraser University*
- DEIDRE LYNCH, *University of Toronto*
- EDWARD MALONEY, *Georgetown University*
- JOHN MARX, *University of California, Davis*
- RICHARD MAXWELL, *Yale University*
- PAUL MCCORMICK, *Ohio State University*
- LAWRENCE MCCREA, *Cornell University*
- MEREDITH L. MCGILL, *Rutgers University*
- AARON MCKAIN, *Ohio State University*
- LORI MERISH, *Georgetown University*
- TREVOR CRIBBEN MERRILL, *University of California, Los Angeles*
- PATRICIA H. MICHAELSON, *University of Texas, Dallas*
- EVAN MWANGI, *Northwestern University*
- DEAK NABERS, *Brown University*
- KATE SAUNDERS NASH, *Virginia Commonwealth University*
- LORI NEWCOMB, *University of Illinois, Urbana-Champaign*
- KENNETH NEWTON, *University of Dundee*
- DANIEL A. NOVAK, *Louisiana State University*
- PATRICIA OKKER, *University of Missouri*
- YOLANDA PADILLA, *University of Pennsylvania*
- FRANK PALMERI, *University of Miami*
- SUNYOUNG PARK, *University of Southern California*
- JOSE LUIZ PASSOS, *University of California, Berkeley*
- VINCENT PECORA, *University of Utah*
- JAMES PHELAN, *Ohio State University*
- YANNA POPOVA, *Case Western Reserve University*

KENT PUCKETT, *University of California, Berkeley*

STEPHEN RACHMAN, *Michigan State University*

ERIK REDLING, *University of Augsburg*

JOAN RAMON RESINA, *Stanford University*

JOHN RICHETTI, *University of Pennsylvania*

MATTHEW RUBERY, *Queen Mary, University of London*

SHIRLEY SAMUELS, *Cornell University*

JULIE SANDERS, *University of Nottingham*

MICHAEL SCHEFFEL, *University of Wuppertal*

BENJAMIN SCHREIER, *Pennsylvania State University*

ROBERT SEGUIN, *State University of New York, Brockfort*

DANIEL L. SELDEN, *University of California, Santa Cruz*

SYDNEY J. SHEP, *Victoria University of Wellington*

JAN SJÁVIK, *University of Washington*

JOSEPH SLAUGHTER, *Columbia University*

DAVID SMYTH, *University of London*

PHILIP STEWART, *Duke University*

IMRE SZEMAN, *McMaster University*

KAMRAN TALATTOF, *University of Arizona*

PEKKA TAMMI, *University of Tampere*

LEONARD TENNENHOUSE, *Duke University*

BRONWEN THOMAS, *Bournemouth University*

PETER TOOHEY, *University of Calgary*

SHAFQUAT TOWHEED, *The Open University*

JIRÍ TRÁVNÍČEK, *Institute of Czech Literature*

GEOFFREY TURNOVSKY, *University of Washington*

TUIRE VALKEAKARI, *Providence College*

CAROLE VIERS-ANDRONICO, *Tulane University*

ANDREW VAN DER VLIES, *Queen Mary, University of London*

BLAKEY VERMEULE, *Stanford University*

ATHENA VRETTOS, *Case Western Reserve University*

CYNTHIA WALL, *University of Virginia*

YIYAN WANG, *University of Sydney*

WILLIAM B. WARNER, *University of California, Santa Barbara*

PHILIP E. WEGNER, *University of Florida*

NANCY WEST, *University of Missouri*

MICHAEL WIEDORN, *Tulane University*

ALOK YADAV, *George Mason University*

YANG YE, *University of California, Riverside*

CHRYSTIAN ZEGARRA, *University of Utah*

JONATHAN ZWICKER, *University of Michigan*

Introduction

The *Encyclopedia of the Novel* is an advanced desktop reference source on the novel as a literary genre. International in scope, its articles focus on the history, terminology, and concepts essential to studying the genre. While available to the beginner, the *Encyclopedia* is aimed at a wider, more experienced audience. Its goal is to assist specialists, graduate students, and teachers who are working in fields ancillary to their areas of expertise, and also to help the interested general reader looking for detailed, reliable information. As the first reference source entirely devoted to the global history, theory, form of the novel, the *Encyclopedia* offers extensive coverage of advanced concepts in those areas.

Given that no consensus exists on what constitutes a “novel,” the editors had to consider the scope of this project carefully. Novels, we thought, ought to be in prose, and yet we have important novels that use verse (Jean Toomer) and others written entirely in verse (Elizabeth Barrett Browning). Novels should at least have a narrative, and yet we have novels without narrative (Alain Robbe-Grillet, Marguerite Duras). We also have novels without characters (Samuel Beckett), novels that are not fiction (Truman Capote), and countless novels that include one or all of these elements at some point within them. Today, the closest scholars come to a consensus is perhaps the broad agreement on the explanatory power of Mikhail Bakhtin’s claim that the novel is not, in fact, a genre but is rather an anti-genre, a form of writing that parodies any literary form that stands still long enough to be identifiable.

And these are only the problems that arise within a restricted definition of the novel as a product of Western modernity. Recognizable novels elsewhere predate the eighteenth-century, the traditional starting point for discussions of the modern novel, including the Chinese *Sanguo yanyi* (*Romance of the Three Kingdoms*), from 1552. Much older fictional or semi-fictional narrative forms long predate modernity: Petronius’s *Satyricon* and Chariton’s *Callirhoe*, both from the first century CE, along with China’s *Shih-chi* (ca. 85 BCE, *Historical Records*) and South Asia’s *katha* and *champu* works of the late first and early second millennium. The entries on “Ancient Narratives” discuss all of these, either as novels or in relation to the novel genre.

In its global scope and temporal breadth, this *Encyclopedia* can serve as a resource for scholars interested in tracing the conjunctions among national traditions and among older and new narrative forms. It can serve as a starting point for mapping kinships and for understanding a particular novelistic traditions, like national canons, as part of a truly global context.

Scholars of novel studies lack a term like *poetry* for novels, e.g., an all-encompassing, loosely defined generic label that escapes the sense of immediacy imparted by the definite article in *the novel*. Few would argue that *poetry* is synonymous with *the poem*; the former refers to a capacious, abstract category of writing, while the latter references a concrete literary form. However, in critical work on novels, *the novel* has long performed double duty, serving both of these

necessary functions, so much so that its definite article is sometimes placed in quotation marks—"the" novel—to clarify that the writer means a heterogeneous rather than homogeneous concept. This volume takes a capacious approach to its namesake, incorporating the fullest range of writings that scholars call "novels" and giving significant attention to the debate itself.

The editorial team consists of four scholars who work on different geographical traditions of the novel. Peter Melville Logan writes on the British novel, Olakunle George specializes in the African novel, Susan Hegman the American novel and literary theory, and Efraín Kristal the novel in Latin America. During the course of this project, they all took on new areas of responsibility. Professor Logan oversaw articles on book history and the novel in Britain. Professor George took charge of pieces on Africa, Asia, the Middle East, and Eastern Europe, as well as those on novel subgenres. Professor Hegman oversaw entries on North America, Central Europe, and the contributions on theory. Professor Kristal supervised articles on Latin America, Western Europe, and the entries on literary form. Assisting this knowledgeable team was the international consortium of scholars who made up the Advisory Board for the volume, and the editors are profoundly grateful to them for their guidance and generosity.

This Encyclopedia could not have been written without the pioneering work of Paul Schellinger, who produced the invaluable *Encyclopedia of the Novel* (1999, 2 vols.). That work devoted the majority of its entries to an international roster of individual novels and novelists, and the reader looking for such information is advised to go directly to that source. Because of Professor Schellinger's work, the present volume is able to focus solely on the historical, formal, and theoretical aspects of novels, and the editors are indebted to his work for that opportunity.

ENCYCLOPEDIA DESIGN

The Encyclopedia consists of 145 separate articles written by solicited contributors. With few exceptions, all articles have been peer-reviewed. In the selection of entries, preference has been given to larger synthetic entries on broad topics, with more specific topics considered within that context. Critical information that could not be included in the lengthier pieces is given in short entries. Entries are extensively cross-referenced both within the article and through a list of related entries following each article. Subtopics of longer entries are also referenced as blind entries within the alphabetical flow of the Encyclopedia and within the comprehensive index. Each entry includes a bibliography for further reading.

Entries fall into four conceptual categories. The largest group consists of articles on *formal and theoretical* aspects of the genre. These discuss elements within novels (such as story, plot, character), stylistic matters (rhetoric, narrative perspective), and major subgenres (Historical Novel, Domestic Novel), with a selective emphasis on those common to several national or regional traditions. Entries on the theory of the novel and its terminology include articles on critical theory, narrative theory, genre theory, and the longstanding debates over histories and definitions of the novel. The goal in these articles is not to serve as a substitute for a comprehensive study of these rich topics but to describe in detail potentially unfamiliar terms and critical premises that scholars of the novel are likely to encounter in their research, and also to supply beginning points for further study.

Historical entries describe novels and novel writing in different areas of the world. Identifying regional labels proved to be a complex task because of differences in how scholars define these geographical fields. The United States, for example, is one of

the very few regions of the world that groups novels by ethnicity. Linguistic categories are more common; in the Caribbean and South Asia, different languages produce novels that may identify more with the country of linguistic origin than with the multilingual region of origin. In much of the world, nationality is a dominant rubric in grouping novels and novelists, and that poses problems of its own, both because of the fluidity of nation-states and because of difficulties within the concept of national literatures in general. Rather than inventing a consistent, rational taxonomy bearing little relationship to the world of novel studies today, the editors chose a course of “rigorous inconsistency” by adhering to actual practices in scholarship as much as possible.

The novel has an intimate relationship to the mediating role of print. Entries on the *history of the book* discuss the materiality of the novel, such as the technology of novels and of their circulation, as these conditions bear on novelistic form and content. The episodic demands of serialization, for example, affected the structure of plot, while market needs often dictated that postcolonial novelists write in the language of the empire. Typography, paper, copyright law—all contributed to shaping the genre, and continue to do so, as in the emergence of the cell-phone novel in Japan.

A small group of entries look at *correlate areas* that bear on the history of the novel and on the critical study of the genre. Some of these consider the influence of other genres of writing, such as journalism and life writing. Others consider the impact that

new technologies, such as photography and book illustration, have had on novels.

In designing the *Encyclopedia*, the editors took into consideration one of the central contradictions the project entailed. While it is a global reference work, its contributors are by definition well-established specialists in regional or conceptual subfields. This is fine for historical entries, but it can present a dilemma for many other topics. The concept of authorship, for instance, has different histories in different places, and a comprehensive treatment of the topic would be itself a life’s work that could easily fill this entire Encyclopedia. Instead, the editors selected experts with a thorough knowledge of the subject in a given place and asked them to consider patterns and problems that might be applicable elsewhere, while at the same time expanding the range of reference beyond any single national context. Thus someone working on a topic such as authorship should find a useful articulation of conceptual issues that have applicability beyond the regional specifics it mentions.

In order to be as generous as possible in referencing other works, a condensed citation style has been adopted throughout. While brief, each citation should provide the minimum information necessary to locate a given book or article. Bibliographies at the end of the article are generally intended as a brief list of further reading for the researcher who needs to know where to begin. Other references are cited parenthetically in the text, as needed, and readers are well advised to consider these as well.

Acknowledgments

A project like this, which considers a genre in a global context, is beyond the scope of expertise for any single scholar or small group of scholars. The Advisory Board members provided crucial assistance in expanding our range of reference and directing us to the international group of scholars without whose expertise this reference work could not have been completed. The *Encyclopedia* is itself a testimony to the generosity of the many people who worked with us on the project; it embodies the selfless dedication of many specialists who voluntarily shared their wisdom and expertise with us—suggesting contributors, reviewing entries, advising us on navigating the waters of specific novelistic reefs and shoals, and in many other capacities.

The editors would like to thank all of the members of the Advisory Board for their invaluable advice. We also benefited from timely assistance in multiple capacities from an international cohort of scholars on the novel, who we would like to thank: Elizabeth Abel, Paul Allatson, Graham Allen, Ayelet Ben-Yishai, Michael Bérubé, Don Bialostok, Susan Brantly, Andrea Brintlinger, Hillary Chute, Massimo Ciavolella, Joseph Clarke, Jorge Coronado, Jonathan Culler, Mark Currie, Maarten van Delden, Ian Duncan, Caryl Emerson, Brad Evans, Nigel Fabb, Kate Flint, John Frow, Andreas Gailus, Michael Gamer, Rosemary Marangoly George, Shai Ginsburg, Teresa Goddu,

Andrew Gordon, Jeffrey D. Groves, Daniel Hack, Thomas Harrison, Stephen Hart, Tace Hedrick, Michael Heim, David Herman, Irmela Hijiya-Kirschner, Philip Holden, Sharon P. Holland, June Howard, Craig Howes, J. Paul Hunter, John Huntington, Frederic Jameson, Martin Jay, Charles Johanningsmeier, Roberta Johnson, Linda Kauffman, Elaine Kim, John King, Mariam Beevi Lam, Joshua Landy, Ellen Ledoux, Suzanne Levine, Kathleen Lubey, Michael Lucey, Ellen Lupton, Marc Mangano, Paul Martin, Jill Matus, William Maxwell, Meta Mazaj, David McCann, Michael McKeon, Franco Moretti, Anne Marie Muschoot, Scott Newstock, Süha Oguzertem, Dan O'Hara, Mohamed-Salah Omri, Miles Orvell, Patrick Parrinder, John Plotz, John Plunkett, Rachel Potter, Gerald Prince, Kent Puckett, Timothy Reiss, Brian Richardson, Shlomith Rimmon-Kenan, David Rolston, Catherine Rottenberg, Matthew Rubery, Michael Ryan, Dianne Sadoff, Mark Sanders, Allison Schachter, David Seed, Mila Shevchenko, David Skilton, Garrett Stewart, Kate Thomas, Jason Tougaw, James Turner, Douglas Underwood, Flora Veit-Wild, David Wang, Justin Weir, Edward White, Tim Whitmarsh.

We also need to thank the talented graduate students at Temple University, whose work as editorial assistants made this project possible: Leslie Allison, Dana Harrison, Caitlin C. Hudgins, and Margaret J. Godbey.

A

Actor, Actant *see* Character; Narrative Structure

Adaptation/ Appropriation

JULIE SANDERS

Descriptions of the novel as a form almost inevitably discuss the use of INTERTEXTUALITY, allusion, and quotation as some of its major narrative strategies. Canonical examples of the nineteenth-century novel are frequently constructed around an architecture of citations, epigraphs, and cross-references. For example, we can look to Charles Dickens's invocations of William Shakespeare both as language and as performance in *Nicholas Nickleby* (1838–39) and *Great Expectations* (1861), or many of George Eliot's shaping epigraphs in *Middlemarch* (1871–72), derived from her vast reading knowledge. Postmodern novels, albeit in sometimes fragmented form, have as their vertebrae the literature that precedes them (see MODERNISM). Angela Carter's self-conscious bricolage of poetry, novels, and films in her fiction and short stories provides one obvious example. Her *Nights at the Circus* (1984) derives imaginative energy from Dickensian style and aesthetics, while *Wise Children* (1991) provides an intricate response not just to Shakespeare's plays but the complex global and cultural history of Shakespearean adaptation and afterlives. All of these works are relevant to a discussion of the novel as

an inherently appropriative and adaptive genre, but when we talk about adaptation with reference to the novel, we are usually describing a more sustained relationship between specific texts. Such a relationship serves as a direct invitation to read intertextually, with knowledge of at least two texts or works simultaneously, allowing for interaction with each. It is for these reasons that the emergent field of adaptation studies often invokes parallel fields of scholarship, such as reception theory, the study of reader response, and cognitive poetics (see COGNITIVE THEORY).

VOICING THE MARGINALIZED CHARACTER

Discussions of adaptation and the novel focus on novels that serve as facilitating examples of the general conventions or methods of practice within the field. Two touchstone works of this kind are Jean Rhys's *Wide Sargasso Sea* (1966) and J. M. Coetzee's deeply metafictional *Foe* (1986).

In its reorienting of Charlotte Brontë's *Jane Eyre* (1847), *Wide Sargasso Sea* proleptically brings into view many of the chief critical concerns with that novel during the late twentieth and early twenty-first centuries (Su, 392). Rhys's novel presents the viewpoint of the marginalized and oppressed character Bertha Rochester, Mr. Rochester's "mad" first wife, who is confined to the upper storey of Thornfield

Hall in *Jane Eyre* (see NARRATIVE PERSPECTIVE). Rhys responds in combative fashion to Bertha's reduction to a rabid, animalized creature, only briefly visible in the narrative, who bites any intruders to her chamber and persistently seeks to destroy both herself and the site of her incarceration through acts of arson. In Rhys's novel, Bertha becomes Antoinette Mason and is ascribed not only large sections of first-person narrative but is given a complex and detailed history prior to her appearance in Brontë's novel. Rhys therefore mobilizes a response to the cultural and racial politics of *Jane Eyre*—rewriting, or “writing back,” as postcolonial theorists have termed it, from an informed position—and to its perceived proto-feminist politics, which equate marriage with slavery and bondage in problematic metaphors embedded within the text (see FEMINIST THEORY).

Artist Paula Rego's 2003 series of illustrated responses to *Jane Eyre* has been filtered through and influenced in turn by Rhys's novel. Rego's Jane is a dark, muscular figure who shares elements with Bertha as described in *Jane Eyre*. Rego's interpretation engages with the sexual and racial politics of Brontë's text articulated by the feminist critics Sandra Gilbert and Susan Gubar, who describe Bertha as Jane's “darkest double” (360). But Rego's vision is also shaped by Rhys's critique of the original novel because it implicitly valorizes Jane at Bertha's expense. This suggests a rich pattern of influence whereby adaptations become shaping texts in themselves (Kaplan, 31–34).

Rhys's strategy—according a narrative voice to a marginalized character—has been adapted and adopted by other novelists working in this sphere. Many of these are women writers, which further suggests an implicit examination of feminist politics taking place in this particular manifestation of adaptation (see GENDER THEORY). For

example, in *Ahab's Wife, or The Star-Gazer* (1999), Sena Jeter Naslund fashions a 650-page novel from a few glancing references in Herman Melville's oceangoing *Moby-Dick* (1851) to the wife and child who Captain Ahab has left behind, onshore in Nantucket. Naslund appropriates material from both real life and fictional nineteenth-century narratives of women who escaped to sea cross-dressed as cabin boys. She uses them to create a vivid fictional voice for her fictional protagonist, Una Spenser. This results in a pastiche, not only of a whole range of factual and fictional texts from the period of her main source-text, but also of one of Melville's prime literary methods. The character's name invokes Una, from Book I of Edmund Spenser's Elizabethan EPIC poem *The Faerie Queene* (1590–96), and thereby locates Melville's own epic quest in a far longer literary tradition, one which, incidentally, features cross-dressed heroines who demonstrate agency and bravery in the face of danger. Similarly, Marina Warner's *Indigo* (1992), a reimagining of Shakespeare's *The Tempest* (1611) in novel form, ascribes central roles to Miranda, Prospero's daughter in the play who is subject to his paternal and political will, and Sycorax, dead before the play begins but invoked and described through the voices of others.

POSTCOLONIAL RECONFIGURATIONS

Warner created a novel that is also a post-colonial reexamination of *The Tempest*, and here she finds kinship not only with other authors who adapted *The Tempest* into novel form—including the Canadian works *Prospero on the Island* (1971) by Audrey Thomas, and Margaret Laurence's *The Diviners* (1974)—but also with the Australian writer Peter Carey, whose *Jack Maggs* (1997)

accords both a voice and a detailed history to Dickens's transported convict Magwitch, from *Great Expectations*. Dickens's first-person narrator Pip is reduced to the marginalized character of Henry Phipps, who is presented with little invitation for sympathy from the reader. Like Naslund's *Ahab's Wife*, Carey's self-consciously postcolonial response to *Great Expectations* pastiches a whole range of nineteenth-century literary strategies, from those of the DETECTIVE novel and sensation fiction through to Australian convict confessionals.

Carey wrote *Jack Maggs* in direct dialogue with Edward Said's claim, in *Culture and Imperialism*, that *Great Expectations* enacts both a "penal" and an "imperial" sentence on Magwitch, prohibiting his return to the metropolitan center (xvi). In thinking about how this affected Australian ideas of identity, Carey finds an obvious precursor in Coetzee's *Foe*. *Foe* grapples with perhaps the ultimate "master-narrative," Daniel Defoe's *Robinson Crusoe* (1719–22). Coetzee invents the figure of Susan Barton, who shares many of "Cruso's" island experiences. The slippage of the *e* from the spelling is a typical Coetzee move, signaling the textuality of his novel, and referring to the 1719 unlicensed edition of the novel that adopted this spelling (see TYPOGRAPHY). The novel plays more widely with eighteenth-century printing conventions in its use of quotation marks, enacting literary imitation at the level of form as well as content. Coetzee opts to have both Susan and Friday, a character who is silent in this novel due to his tongue having been removed in mysterious circumstances, confront their "author" Foe, whose name reflects Defoe's famous change of his surname to foster a more upper-class publishing identity. The novel explores deep questions about AUTHORSHIP, authority, ownership, identity, and integrity in increasingly convoluted

narrative turns that leave the reader uncertain whether any of what was described "happened."

CHALLENGING AND CONFIRMING THE CANON

Robinson Crusoe has spawned numerous adaptations, rewritings, and responses in both prose and alternate genres. One notable example is Michel Tournier's post-Freudian, PSYCHOANALYTIC *Friday, or the Other Island* (1967). Coetzee's pragmatic version of Crusoe's island is a deliberate response to the eroticized spaces and soils of Tournier's setting, again demonstrating the impact of adaptation on other adaptations.

Derek Attridge and others have argued that works such as *Wide Sargasso Sea* and *Foe* ultimately reinforce rather than challenge the canon of English literature in writing back to canonical master-texts in this way (19). It remains true that responses to canonical works lie at the heart of much adaptive writing. We could argue this is a simple matter of knowledge: to read intertextually assumes a prior knowledge of a source-text, and therefore the texts turned to for the process of adaptation are almost invariably those already circulating with some force within the cultural domain. Nevertheless, it is striking that nineteenth-century novelists such as Charlotte and Emily Brontë, Dickens, Joseph Conrad, and Fyodor Dostoyevsky have all proven to be prime sites of contemporary literary activity. "Vic lit" in general, as all European literature of the mid- to late nineteenth century has impishly been termed, is a recurring site of adaptation, and it is salient to ask why that might be the case. Cora Kaplan, examining modern obsessions with "Victoriana," as she describes it, suggests that the reason is a complex combination of "historical

investigation, aesthetic appreciation ... entertainment,” and our continuing interest in issues of CLASS, gender, and empire, which the Victorian period (1837–1901) contains and contests in ways relevant to our own time (5).

But it is fair to say, in any survey of novel adaptation, that it is not solely Victorian fiction or indeed the nineteenth and twentieth centuries that have proven to be productive sites of engagement. Texts from the medieval and early modern canons have also served their turn. In *Tokyo Cancelled* (2005), Rana Dasgupta transfers the traveling tale-telling of Geoffrey Chaucer's *The Canterbury Tales* to a modern airport. Jane Smiley's *Ten Days in the Hills* (2007) relocates Giovanni Boccaccio's collection of stories, the *Decameron* (ca. 1348–53), from a plague-ridden Tuscany to the Hollywood hills at the outbreak of the Iraq War in March 2003. In turn, Smiley is able to play with resonances between her novel and Boccaccio's work, highlighting how she can write a far more explicit sex comedy than he was able to produce in a medieval context, while also updating the politics to her own culture and time. This method reveals another key aspect of the process of adaptation, which plays on the pleasures incipient within both similarity and difference.

THEORETICAL AND CULTURAL CONTEXTS

Adaptations can be a means of tracking the theoretical and cultural preoccupations of given moments and periods. They often reflect the pressing concerns of their own time by “updating” and relocating their source text, all in the interest of resonance, relevance, and topicality, or what French theorist Gérard Genette terms cultural “proximization” (304). In Smiley's 1992

novel, *A Thousand Acres*, there is a sustained response to Shakespeare's tragedy *King Lear* (ca. 1605) from a feminist perspective, featuring a female narrator based on Goneril from the play. But Smiley's novel is also an act of “proximization” that relocates its plot to an American Midwest farming community and demonstrates the influence of the ecological politics and environmental concerns of Smiley's own era, along with the subject of recovered memory, which was then in the news.

IDEAS OF AUTHORSHIP

In postmodern fiction, the process of adaptation has most frequently played out a contemporary concern with the reevaluation of the role of writing and questions of authorial identity and integrity. Numerous novels have appeared which adapt “real lives” or available biographies into fiction, but it is telling how many of these are responses to a writer's life. Henry James is examined in both Colm Tóibín's *The Master* (2004) and David Lodge's *Author Author* (2005). Helen Dunmore's *Zennor in Darkness* (1993) concentrates on D. H. Lawrence's sojourn in Cornwall during WWI. Carey's aforementioned *Jack Maggs* revisits early Dickens in the shape of Tobias Oates, a characterization that, in its examination of Dickens's complicated family life and sexual liaisons as well as his journalistic roots, appears itself to be informed by the work of novelist Peter Ackroyd, whose literary life *Dickens* (1990) combined fact with fiction, imagined dialogue, and even dreamscape to account for the writer's work. Ackroyd has himself had a sustained career writing novelistic responses to writers and their works. Individuals he has refashioned through fiction include Thomas Chatterton (1752–70), John Milton (1608–74), Charles Lamb (1775–1834), Mary Lamb (1764–1847), and

Oscar Wilde. Bringing those literary connections full circle, his first novel, *The Great Fire of London* (1982), is a rewriting of Dickens's *Little Dorrit* (1855–57).

Michael Cunningham's *The Hours* (1998) adapts and appropriates Virginia Woolf's 1925 novel *Mrs. Dalloway* by employing the title Woolf once used for her novel in progress, and by borrowing Woolfian aesthetics, such as stream of consciousness (see PSYCHOLOGICAL). But he also includes characters from other Woolf texts in newly imagined contexts. The "Mrs Brown" of Woolf's essays on fiction is reenvisioned as a 1949 Los Angeles housewife trapped by the expectations of her gender and role as wife and mother, and Woolf herself is seen both in the process of writing *Mrs. Dalloway* and in the act of ending her life in 1941. Cunningham speculates that this action has become the prism through which much of her writing is understood and he himself revisited the suicide through a series of texts, including Woolf's own letters, diaries, and her suicide note to her husband Leonard Woolf. In *Flaubert's Parrot* (1984) Julian Barnes goes one step beyond the conventional literary biography to consider the literary biographer himself as a subject.

SHADOW TEXTS

There are numerous contemporary novels in which other works act as shadow texts, such as *The Tempest* in relation to John Fowles's *The Magus* (1965, rev. ed. 1977), or indeed the same play within Iris Murdoch's *The Sea, The Sea* (1978). *Father and Son* (1907), an autobiography by literary critic Edmund Gosse, provides intertextuality for the opening sections of Peter Carey's *Oscar and Lucinda* (1988). Henry James, a rich source of fictional reworkings, also stands behind the aesthetic approach and tone of Alan Hollinghurst's *The Line of*

Beauty (2004). To underline the point, Hollinghurst plants a discussion of James's visits to English country houses at the heart of the novel, encouraging knowing readers to infuse their interpretations of the later novel with their understandings of Jamesian themes and topics. Zadie Smith has described her 2005 novel, *On Beauty*, as a contemporary reworking of E. M. Forster's *Howards End* (1910), and in *Dorian* (2002) Will Self writes a robust modern version of Oscar Wilde's fin-de-siècle novel *The Picture of Dorian Gray* (1891). James Joyce's *Ulysses* (1922), with its crucial invocations of both Homer's epic *The Odyssey* (ninth or eighth century BCE) and Shakespeare's *Hamlet* (ca. 1603) in the midst of its compendious chapters, might be regarded as an Ur-text in this respect. Chapter headings in early versions of that novel signaled these relationships explicitly. The contextual relationship is more suppressed in later versions but remains crucial to a full understanding of many of Joyce's operating themes, such as the relationship between fathers and sons, and the idea of a journey, both spiritual and material. The "Cyclops" and "Circe" sections are perhaps the best-known examples of an intertextual reading that brings Joyce's full meaning and method into the light.

Sometimes entire genres or modes of writing perform the function of shadow texts in adaptational novels. Myth and fairytale provide two particularly potent examples of this idea in operation (see MYTHOLOGY). Joyce's *Ulysses*, in its mythic invocations, enacts its own individualistic version of this form of adaptation. Two theoretical schools already mentioned, feminism and postcolonialism, have demonstrated a particular investment in "re-visioning" texts in this manner, to use a term derived from feminist poet Adrienne Rich (1929–). Carter's novels and short-story collections, such as *The Magic Toyshop* (1967) and *The*

Bloody Chamber (1979), repeatedly ascribe greater agency to the conventionally passive or acted-upon heroines of fairytale narratives, and in many instances rewrite the conventional endings of these well-known stories. In this way, novels self-consciously engage with literary archetypes, forging their own individual take on familiar themes in the process.

The idea of shadow texts in adaptive works can also refer to those instances when the physical text or actuality of a novel, along with its reception, form the driving force of the invention. The centrality of Dickens's *Great Expectations* to the child-narrator of New Zealand author Lloyd Jones's *Mister Pip* (2007) illustrates this kind of narrative effect. In the course of the novel Dickens's text is devoured by the children of the island school, who are hungry for knowledge of a world other than their own, tribally riven community; burned by scornful troops; remembered and paraphrased as an act of reconstituted memory by the children; and revisited in adult life by Matilda, the narrator. The power of literature in all these revisits and returns, culturally, politically, and spiritually, is palpable.

QUESTIONS OF ORIGINALITY

Questions of homage, pastiche, and plagiarism naturally accrue around a topic such as adaptation. Graham Swift's 1996 novel, *Last Orders*, charts a postwar grouping of male friends and their journey to the English seaside to scatter the ashes of one of their group. It upset critics concerned with rigid notions of originality when, subsequent to Swift winning the Booker Prize that year, close connections were found between the novel and William Faulkner's classic of American modernism, *As I Lay Dying* (1930). The argument was strange in several regards, since those who knew Faulkner's

novel would have recognized an obvious homage, not only in the polyphonic monologues that form the basis of Swift's narrative structure but even in the typeface of capitalized chapter headings mostly provided by the characters' forenames.

Already an acknowledged admirer of Faulkner's style, including his evocations of landscape and environment, Swift is a deeply allusive writer. *Last Orders* possesses additional examples of intertextuality from the English canon, including Old English poetry, *The Canterbury Tales*, and the poems of T. S. Eliot, indicating in turn that poetry as a genre is as available for adaptation as the novel itself. Swift's work also engages with the wartime film *A Canterbury Tale* (1944), a production of director Michael Powell and screenwriter Emeric Pressburger. This raises larger theoretical questions about writing: are we judging novels of this kind by a post-Romantic valorization of "originality" rather than celebrating an earlier notion of the skills involved in mimesis and imitation? In "Tradition and the Individual Talent" (1919), T. S. Eliot argues that imitation and response is actually a key to higher creativity; it has itself become a critical debating point on this issue.

DRAMA, FILM, AND THEATER ADAPTATIONS

Until now we have largely considered novels that respond to other novels, with some additional recourse to poetry. But the novel has fed creative energies in other genres as well, particularly drama, television, and film. Despite a sometimes pejorative assumption that theater can only act as a parasite in this relationship, feeding off the creation of its host genre, many far-from-conventional reworkings of "classic" novels for the stage can be identified. While a populist mode such as the musical is readily

associated with the act of adaptation, as in the example of the twentieth-century musical version of Victor Hugo's novel *Les Misérables* (1862, *The Wretched Poor*), theater in the work of companies at the cutting edge of performative practice demonstrate a highly engaged art of adaptation. The Chicago-based company Steppenwolf or the Shared Experience and Kneehigh Theatre companies in the U.K. are good examples. Shared Experience, in particular, has created strong physical theater interpretations of novels such as Leo Tolstoy's *Voyná i mir* (1865–69, *War and Peace*) and *Anna Karenina* (1875–77). They have been much influenced by the Royal Shakespeare Company's staging of Dickens's *Nicholas Nickleby* in 1980, which was adapted by playwright David Edgar and performed in Stratford-upon-Avon, London's West End, and on Broadway over two years. The production ran for over eight and a half hours, with 39 actors sharing 150 roles between them. At various times, this ensemble could suggest the urban bustle of London or the moving theater of a stage-coach journey, as required by the plot. In addition, they constantly moved in and out of character to share large chunks of Dickens's omniscient narration. So, for example, the detailed account of Wackford Squeers's physiognomy in the novel was delivered onstage by an actor-narrator at the same time that the audience caught their first sight of the actor performing that role. It remains a remarkable example of a creative relationship between the physical act of embodiment that is theater and the intricacies of narrative technique in the novel.

Steppenwolf has created renowned productions of John Steinbeck's *Of Mice and Men* (1937) and Mark Twain's *Adventures of Huckleberry Finn* (1884–5). That a number of these productions were aimed at the youth market is indicative of certain market

conditions and of the synergistic relationship between theater, canon, and educational syllabi. One recent example of this synergy is Philip Pullman's *His Dark Materials* trilogy—*The Golden Compass* (1995), *The Subtle Knife* (1997), and *The Amber Spyglass* (2000)—which is an acknowledged response to John Milton's epic poem *Paradise Lost* (1667). As well as being adapted for radio drama and the first novel as a CGI-heavy film, the books were re-created as a two-part theater performance, physicalizing the narrative with its stunning stage puppetry, dance, and movement to represent Pullman's complex world of humans and "daemons."

Television in North America and the U.K., through the work of channels such as PBS, CBC, and the BBC, have presented adaptations of novels by Jane Austen, Dickens, George Eliot, and others. The films produced by Ismail Merchant and directed by James Ivory in the 1980s and 1990s were a large-screen extension of this tradition. See, for example, their cinematic interpretations of Forster's novels *A Room with a View* (1908) and *Howards End*, filmed in 1985 and 1992, respectively. These kinds of adaptation, careful in their re-creation of period "authenticity," have become linked in Anglo-American public consciousness with the wider sphere of the heritage industry. In the UK the best-known writer of such screenplays for the small screen is Andrew Davies. His recent ventures include multi-part adaptations of Dickens's *Bleak House* (1852–53) and *Little Dorrit*, produced in 2005 and 2008, respectively, which in their half-hour episodic structures seek to recapture some of the effects of reading the novel in periodical form in the nineteenth century (see SERIALIZATION). In turn it has been argued that the television form has itself impacted the structure of modern novels (Cardwell; McFarlane, 195).

Some film versions of novels may retain the historical setting and context of their

sources, but this should not lead us to ignore the point that the shift into the new medium encourages innovative creative input and fresh acts of interpretation. Deploying Jay David Bolter and Richard Grusin's theory of "replacement" as a key part of the adaptational process, we can see in these films working examples of the view that "replacement is at its most radical when the new space is of a different medium" (44). David Lean's film adaptations of Dickens are often regarded as masterpieces of the form. His 1946 production of *Great Expectations* and 1948 production of *Oliver Twist* (1838) provide dark cinematic responses to the novels. Thomas Hardy is another novelist whose work has received much attention from filmmakers, including John Schlesinger's 1967 adaptation of *Far From the Madding Crowd* (1874) and Roman Polanski's 1979 *Tess*, based on *Tess of the d'Urbervilles* (1891). But Hardy has also proved ripe for cinematic remediation that moves more into the realm of appropriation than adaptation: *The Mayor of Casterbridge* (1886) was reworked within the genre of the Western as *The Claim* (2001), by director Michael Winterbottom. More humorous cinematic updates can be found in the U.S. high-school genre, notably with Amy Heckerling's *Clueless* (1995), a knowing and arch "re-vision" of Austen's 1816 *Emma* set in the world of Beverly Hills conspicuous consumption.

Adaptation from page to screen can often be an insightful transition that allows the two media and the two works to exist alongside each other in their own right, displaying the strengths of their own specific media. Joe Wright's 2007 film of Ian McEwan's novel *Atonement* (2001), which itself involves a conscious pastiche of Elizabeth Bowen's novels, among other things, is a useful facilitating example in this regard. A deeply textual novel, with layers of texts within texts and a series of

unreliable narrations, many regarded *Atonement* as virtually impossible to adapt into a film. Wright's skill, along with that of his screenplay writer, the playwright Christopher Hampton, was to find cinematic equivalents for the intertextuality of the novel. Hampton's background again demonstrates that the role of playwrights in reimagining novels for the screen as well as the stage should be considered more deeply as a creative act. In the light of innovative work of this kind, literary criticism has been able to rid itself of the shackles of what has been called "fidelity criticism," which concentrates on how a film or adaptation is "unfaithful" to its source (D. Cartmell and I. Whelehan, 2007, *Cambridge Companion to Literature on Screen*, 3).

Some adaptations move so far beyond their source-text and have such cultural impact in their own right that their status as an adaptation fades into the background over time. Such texts are often deemed to be appropriations, rather than straight adaptations. One example is Francis Ford Coppola's *Apocalypse Now* (1979), a brutal and haunting rethinking of Conrad's Congo-based novella, *Heart of Darkness* (1902), set during the Vietnam War (1954–75). Nonetheless it remains true that an understanding of Coppola's film is enriched by experiencing it intertextually, just as one might experience a reading of *Wide Sargasso Sea*.

MULTIMEDIA AND THE NOVEL AS ADAPTATION

Adaptation, it should also be stressed, has a multidirectional flow in generic terms. It is not just a case of novels being adapted, or adapting themselves, but also the form itself is now regularly adapting material from other media and genres. Shakespeare has long been the prime site for this kind of

activity. Examples include Alan Isler's *The Prince of West End Avenue* (1994), which along with Swift's *Ever After* (1992) and Iris Murdoch's *The Black Prince* (1973), responds to *Hamlet*; Gloria Naylor's *Mama Day* (1988), which reworks *The Tempest* in a southern American idiom and from an African American perspective; and British novelist Kate Atkinson's deeply allusive *Human Croquet* (1997), which revisits *As You Like It* (ca. 1600) as well as a range of well-known Shakespearean lines and characters. Isler's novel was in turn adapted into a one-man stage performance in 2004 by American actor Kerry Shale, which is further evidence of the plurality of approach and the multiplicity of responses that adaptation appears to encourage and nurture. Novels are finding renewed cultural life in new media forms such as computer games, digital art, and avatar-based sites on the internet. Similarly, film is revitalized in book form, particularly in the youth market, which is proving to be a vibrant locale in this regard. And as the GRAPHIC NOVEL finds its place in mainstream culture—the sites and spaces for response, revision, and reworking, the key processes of adaptation—the potential for the novel to continue to position itself at the center of this activity seems certain.

Wolfgang Iser famously described the reading process as the action of “gaps” being filled, and nowhere does this description seem more resonant than when we think of the act of reading or viewing an adaptation (2001, 181). What remains to be stressed in this overview of the practice and the varying forms it takes is the deep sense of pleasure that the act of gap-filling, the tracing of the relationship between source-text and the new creative work, instills in the active reader.

SEE ALSO: Bakhtin, Comparativism, Copyright/Libel, Parody/Satire.

BIBLIOGRAPHY

- Ashcroft, B., G. Griffiths, and H. Tiffin (1989), *Empire Writes Back*.
- Attridge, D. (1996), “Oppressive Silence,” in *Critical Perspectives on J. M. Coetzee*, ed. G. Huggan and S. Watson.
- Bolter, J.D. and R. Grusin, eds. (2000), *Remediation*.
- Cardwell, S. (2002), *Adaptation Revisited*.
- Genette, G. (1997), *Palimpsests*, trans. C. Newman and C. Doubinsky.
- Gilbert, S. and S. Gubar (1979), *Madwoman in the Attic*.
- Hutcheon, L. (2006), *Theory of Adaptation*.
- Iser, W. (1978), *Act of Reading*.
- Iser, W. (2001), “Interaction between Text and Reader,” in *Performance Analysis*, ed. C. Counsell and L. Wolf.
- Kaplan, C. (2007), *Victoriana*.
- McFarlane, B. (2005), “The Novel and the Rise of Film and Video,” in *Companion to the British and Irish Novel*, ed. B. Shaffer.
- Said, E. (1993), *Culture and Imperialism*.
- Sanders, J. (2006), *Adaptation and Appropriation*.
- Su, J.J. (2005), “Jean Rhys's *Wide Sargasso Sea*,” in *Companion to the British and Irish Novel*, ed. B. Shaffer.

Aesthetic Novel *see* Decadent Novel

African American Novel

TUIRE VALKEAKARI

The early formation of the African American novel was a simultaneously social and literary process that drew from, and fed into, the struggle against slavery and segregation. The relationship between politics and art has been a topical issue within this literary tradition ever since, generating intense and sophisticated discussions among African American novelists and their readers about the social responsibility of the artist and the intrinsic value of art. In the twentieth century and beyond, African American novels have frequently addressed such themes as

racial tensions and conflicts in various regions of the U.S., the communal and individual consequences of the early twentieth-century Great Migration of African Americans from the Southern countryside to Northern cities, black suffering and black achievement, the African American struggle for full human and civil rights and socio-economic equality, African American women's concerns, and the profoundly consequential ways in which RACE, CLASS, and GENDER intersect in American society. Since its known inception in 1853, when *Clotel; or, the President's Daughter* by William Wells Brown first appeared in print, the African American novel has evolved into a multifaceted literary tradition that is both socially aware and artistically complex and diverse.

THE ANTEBELLUM AND CIVIL WAR ERAS

The study of early African American fiction is "a decidedly unstable field," as Christopher Mulvey observes, and the currently accepted list of African American novels of the antebellum (ca. 1815–60) and Civil War (1861–65) eras is "unexpectedly provisional" (17). The list includes Brown's *Clotel* (which he later rewrote three times, under the respective main titles of *Miralda, or The Beautiful Quadroon; Clotelle: A Tale of the Southern States*; and *Clotelle; or the Colored Heroine*), Frank J. Webb's *The Garies and Their Friends* (1857), Hannah Crafts's *The Bondwoman's Narrative* (MS ca. 1853–61), Harriet E. Wilson's largely autobiographical *Our Nig; or, Sketches from the Life of a Free Black, In a Two-Story White House, North; Showing That Slavery's Shadows Fall Even There* (1859), Martin R. Delany's *Blake; or, the Huts of America* (1859, 1861–62), and Julia C. Collins's *The Curse of Caste; or, The Slave Bride*, an unfinished novel serialized in *The Christian*

Recorder, the newspaper of the African Methodist Episcopal Church, in 1865 (see SERIALIZATION). This list may still evolve and expand. For example, *Blake* was initially serialized in *The Anglo-African Magazine* and *The Weekly Anglo-African*, but it remained practically forgotten until reprinted under the editorship of Floyd J. Miller in 1970 (see REPRINTS). Scholar Henry Louis Gates, Jr. established the identity of *Our Nig's* author in 1982 and published *The Bondwoman's Narrative* for the first time in 2002.

Critics presently debate the status of several of these works in the canon. For example, when William L. Andrews and Mitch Kachun republished *The Curse of Caste* in 2006, they called it "the earliest published novel by an African American woman yet to be discovered," arguing that *Our Nig*, the standard-bearer of this title, is more accurately described as a "novelized autobiography" than as a novel (xiv, lvi). On the other hand, some critics have suggested that *The Curse of Caste* should not be classified as a novel proper because Collins died before completing it. Also, some have hesitated to designate *The Bondwoman's Narrative* as an early African American novel in the strictest sense of the term because Crafts's MS remained unpublished until the early twenty-first century (see DEFINITIONS). There have also been calls for further authentication of her identity. These ongoing discussions demonstrate that the reconstruction of the early African American novel is a living and evolving process.

Nevertheless, scholars who study African American novels written before and during the Civil War generally agree on several key points. First, these novels were inspired and influenced by autobiographical narratives of former slaves, including Frederick Douglass's 1845 abolitionist bestseller, *Narrative of the Life of Frederick Douglass, an American Slave, Written by Himself*, and Brown's widely circulated 1847 *Narrative of William W. Brown*,

A Fugitive Slave, Written by Himself. Second, such popular white American and British novels as Harriet Beecher Stowe's *Uncle Tom's Cabin* (1851–52) and Charles Dickens's *Bleak House* (1852–53), notable for their sentimental social criticism, also functioned as important sources of intertextual and stylistic influence (see INTERTEXTUALITY). Third, African American novels of the antebellum and Civil War eras actively promoted the abolition of slavery and emphasized the precarious predicament of blacks, both free and fugitive, in the North. Fourth, while most of the earliest African American novelists primarily addressed their social message to white audiences, their work at the same time contributed to the formation of a collective African American identity in the U.S.

Brown's *Clotel*, currently considered the first novel by an African American, not only drew on the narrative conventions of ex-slaves' autobiographies, including Brown's own *Narrative*, but also complicated them significantly (see LIFE WRITING). Employing a range of voices, *Clotel* offers glimpses into the lives of several groups of the plantation economy: slaves, their masters, and various white intermediaries and beneficiaries of the "peculiar institution." The motifs of racial passing and the "tragic mulatta" (a biracial woman occupying an ambivalent liminal position between the black and white worlds), both recurrent tropes in African American novels written before, during, and after the Civil War, feature prominently in Brown's cautionary tale of Southern miscegenation. The 1853 version of *Clotel* opens with Thomas Jefferson's (1743–1826) slave mistress (named Currer in the novel) and her two daughters fathered by him (Clotel and her sister) on the auction block. Clotel eventually finds herself a fugitive surrounded by captors. Loath to surrender, she commits suicide by flinging herself into the Potomac River at a location close to the

White House. This choice of setting for the final tragedy, together with the reference to Jefferson as Clotel's father, implicitly evokes the founding documents of the American republic and presents a powerful critique of any proslavery interpretation of them.

Crafts's *The Bondwoman's Narrative* chronicles the experience of a young slave woman who ultimately flees to the North. Like *Clotel*, this novel develops the tragic mulatta motif and explores the intertwined existence of plantation economy and plantation SEXUALITY in the South. Wilson's *Our Nig*, the first bound novel by an African American published in the U.S.—its predecessors, *Clotel* and *The Garies*, were printed in England—tells the story of a "free" woman of mixed race who lives in the North under conditions closely resembling Southern slavery. *Our Nig* not only offers yet another fictionalized account of the white possession of biracial and black female bodies in the antebellum era but also debunks the myth of the North as a guaranteed safe haven for African Americans.

Webb's *The Garies and Their Friends* focuses on the story of a white Southern man, his biracial slave-turned-wife, and their children, as they establish a life for themselves in Philadelphia. This novel, with its portrayal of an interracial marriage (a topic also discussed in *Our Nig*) and with its interrogation of interracialism, or "race mixing," versus integrationism (a movement toward a peaceful coexistence of separately definable "races"), provides another example of the wide scope of topics addressed in the earliest African American novels. Delany's *Blake*, a radical work exploring the possibilities of slave insurrection, further broadens this scope. *Blake* portrays a West Indian man who, having become a slave in the U.S., travels throughout the American South seeking support for his plan for a general slave uprising. He then flees to Canada, returns to the U.S., and

eventually goes to Cuba, an object of Southern U.S. states' expansionist dreams at the time, in order to lead a slave revolt there. Delany's narrative, with its protagonist constantly crossing borders, demonstrates an early black transnational radicalism that sets its sights on a black solidarity poised to transcend geopolitical boundaries.

FROM THE POSTBELLUM YEARS TO THE 1910s

After the Civil War and Emancipation (1863), African American novelists faced both new opportunities and new challenges. Because the need to oppose slavery, the cause that had initially brought the African American novel into being, no longer existed, it was politically possible to rethink and further expand the thematic scope of the subgenre. Yet a number of obstacles remained, hindering the free development of this nascent literary tradition. Racial segregation and prejudice made it difficult for aspiring black authors to have access to what a creative writer needed in order to write, including an adequate and affordable education. Also, African American novelists were newcomers to the American literary marketplace, with few connections to white publishers beyond what had been the abolitionist press.

However, just as the African American novel had initially emerged against the odds, including slavery's cultural and legal proscription against black literacy, by the same token it also persisted. Scholars have traditionally regarded the era between the Civil War and the Harlem Renaissance, which flourished in the 1920s, as a relatively quiet period in the development of the African American novel, but this view is currently being revised. The years from Reconstruction (1865–77) through the 1910s saw the publication of novels by the

indefatigable orator, writer, and activist Frances Ellen Watkins Harper; the prolific novelists Charles W. Chesnutt, Pauline E. Hopkins, and Sutton E. Griggs; the Harvard-educated polymath and activist W. E. B. Du Bois; and the equally multitalented James Weldon Johnson.

Harper wrote four novels: *Minnie's Sacrifice* (1869), *Sowing and Reaping* (1876–77), *Trial and Triumph* (1888–89), and *Iola Leroy, or Shadows Uplifted* (1892). The first three, originally serialized in *The Christian Recorder*, remained eclipsed from scholarly view until published in book form, under Frances Smith Foster's editorship, in 1994. As Foster notes, these texts "speak about and to African Americans themselves," forming the first known substantial body of fiction written specifically for African American readers (xxviii). Harper's novels illustrate and dramatize issues that she considered vital for inspiring African Americans. Her works portray strong and noble African American women, emphasize the importance of personal commitment to the African American cause, and advocate temperance. They also determinedly deconstruct such myths as the "chivalrous South" and the "contented slave," and diversify the function of the trope of the biracial woman in the African American novel.

Chesnutt, having attracted favorable attention as a writer of short fiction, worked as a full-time author from 1899 to 1905 and completed his first three novels during those years. By this time, his identity as a black author was commonly known, influencing the reception of his work by white contemporaries in the era often called the nadir of American race relations. *The House Behind the Cedars* (1900), a tragic tale of miscegenation, passing, illegitimacy, racial identity, and social place, was relatively well received, but *The Marrow of Tradition* (1901), a fictionalized account of the 1898 anti-black race riot in Wilmington, North

Carolina, proved too “controversial” for Chesnutt’s white readers. After publishing *The Colonel’s Dream* (1905), Chesnutt returned to his court-reporting business in order to secure a steady income. Five later novels by him, entitled *Mandy Oxendine: A Novel* (1997), *Paul Marchand, F.M.C.* (1998), *The Quarry* (1999), *A Business Career* (2005), and *Evelyn’s Husband* (2005), were published posthumously and prompted renewed scholarly interest in his life, career, and literary production.

Other well-known novels from this era include Hopkins’s *Contending Forces: A Romance Illustrative of Negro Life North and South* (1900) and her three magazine novels, *Hagar’s Daughter: A Story of Southern Caste Prejudice* (1901–2), *Winona: A Tale of Negro Life in the South and Southwest* (1902), and *Of One Blood; or, The Hidden Self* (1902–3), initially serialized in the *Colored American Magazine* and published in one volume in 1988; Paul Dunbar’s *The Sport of the Gods* (1902); Griggs’s *The Hindered Hand: or, The Reign of the Repressionist* (1905); Du Bois’s *The Quest of the Silver Fleece* (1911); and Johnson’s *The Autobiography of an Ex-Colored Man* (1912). This list is not exhaustive. In recent years, scholars have called attention to lesser-known works and have significantly expanded the traditional modes of contextualizing and interpreting the “postbellum, pre-Harlem” African American novel (Fabi; McCaskill and Gebhard).

THE HARLEM RENAISSANCE

In the first decades of the twentieth century, when African Americans migrated en masse to Northern cities and black Caribbeans also started to make their presence felt there, the term “Negro novel” gradually became part of the regular vocabulary of American literature. The 1920s black arts movement known

as the Harlem Renaissance—with its prominent black mentors and networkers, including Du Bois and Johnson as well as philosopher Alain Locke (1885–1954) and sociologist Charles S. Johnson (1893–1956), and its temporal overlap with the Jazz Age—gave African American authors unprecedented national visibility. Many of the best-known literary artists of the Harlem Renaissance were poets, but writers of long fiction also played an important role in the movement, strengthening the position of the novel in the tradition of African American letters. The presence of the novel and novelists is a key factor complicating the identification of a precise time span for the Renaissance. While the 1920s are usually considered the core years of the Renaissance, more novels by African American authors appeared in the 1930s than in the preceding decade. Several writers associated with the Renaissance published their debut novels in this period. Such works include Langston Hughes’s *Not Without Laughter* (1930), George Schuyler’s *Black No More* (1931), Countee Cullen’s *One Way to Heaven* (1932), and Zora Neale Hurston’s *Jonah’s Gourd Vine* (1934).

Harlem Renaissance novelists both built on and broke away from the African American literary tradition of the previous decades. Some of them, like Jessie Fauset, continued to emphasize the importance of African American fiction as a vehicle of racial uplift and primarily worked within the form of the novel of manners. Others, like the Jamaican-born poet-novelist Claude McKay, were more eager to experiment with both content and novelistic form. Either way, this era’s novelists of African descent powerfully demonstrated their need and ability to rearticulate the meaning of black identity on their own terms, rather than on terms dictated by white society.

One of the pioneering texts of the Harlem Renaissance was the modernist and lyrical

Cane (1923), by Jean Toomer, who later in life preferred to be called an “American” writer in an effort to highlight the relativity of “race” (see MODERNISM). Although *Cane*, a hybrid mixture of prose, poetry, impressionistic sketches, and drama, does not squarely fit within the confines of any single genre, it is usually discussed under the heading of the African American novel. In *Cane*, Toomer at first pays homage to his Southern heritage, then depicts urban, modern life in Chicago and Washington, D.C., and finally portrays a former black Northerner, an atypical, Southbound migrant, as a teacher at a black college in Georgia. These shifting settings indirectly speak of Toomer’s intense search for a fluid self-definition, a quest anticipating his later desire to demythologize the concept of race.

Quicksand (1928), by Nella Larsen, a nurse, librarian, and writer of Danish and West Indian descent, also perceptively portrays shifts and differences between the rural and the urban. During her brief but impressive literary career, Larsen published two refined short novels, including *Passing* (1929), that gave thoughtful and sophisticated expression to the predicament of biracial women in the segregated American society of the 1920s. *Quicksand* tells the story of a modern woman of black and white heritage who attempts, and tragically fails, to escape her predicament as a racial and sexual subaltern by romantically (re) turning to the rustic and the religious. She initially explores her options at various locations on both sides of the Atlantic Ocean. After testing the social roles available for an unmarried biracial woman and finding them wanting both in the urban U.S. and in urban Europe, she eventually responds to the call of revivalist Christianity, marries an African American preacher, and moves with him to his native Alabama. However, her leap of faith tragically ends in quicksand, with a never-ending cycle of childbirth

resulting in an existential crisis from which she can no longer resurrect herself.

Hurston, often considered one of the most intriguing personalities of the Harlem Renaissance, created a very different female and feminist (or, to quote Alice Walker, “womanist”) novelistic voice in this era. In the 1930s, when the peak of the Renaissance was already over, she published her first novels, including *Their Eyes Were Watching God* (1937), using a black Floridian dialect and highlighting the importance of black Southern folklore for the African American literary tradition. *Their Eyes* is about an African American woman who lives in various black communities in Florida, marries three times, survives a major hurricane and its horrible aftermath, and over the years goes through a process of personal growth that results in strength, wisdom, and independence. Hurston was largely forgotten after the decline of her career in the 1940s and died in obscurity. However, Alice Walker’s rediscovery of Hurston’s literary and ethnographic work launched a new interest in her writing in the 1970s. Today, Hurston is one of the most frequently read African American novelists, and *Their Eyes* is routinely taught in high schools, colleges, and universities.

Other novels from this era include *There is Confusion* (1924), *Plum Bun: A Novel without a Moral* (1929), *The Chinaberry Tree: A Novel of American Life* (1931), and *Comedy, American Style* (1933) by Fauset; *The Dark Princess* (1928) by Du Bois; *The Walls of Jericho* (1928) and *The Conjure Man Dies: A Mystery Tale of Dark Harlem* (1932) by Rudolph Fischer; *The Blacker the Berry* (1929), *Infants of the Spring* (1932), and *The Interne* (1932) by Wallace Thurman; *Home to Harlem* (1928), *Banjo: A Story without a Plot* (1929), and *Banana Bottom* (1933) by McKay (who became an American citizen in 1940); *God Sends Sunday* (1931) and *Black Thunder* (1936) by Arna Bontemps; and

Moses, Man of the Mountain (1939) by Hurston. Although a wealth of scholarship on the Harlem Renaissance already exists, critics continue to find new perspectives on the content, form, and cultural, racial, and sexual politics of the African American novel of the 1920s and 1930s.

THE 1940s AND 1950s: WRIGHT, ELLISON, AND BALDWIN

The 1940s and 1950s are remembered as the era when the novelistic breakthroughs of Richard Wright, Ralph Ellison, and James Baldwin inarguably placed the African American novel on the American and international literary maps to stay. While Wright initially tested his “blueprint” for black writing, to echo the title of his famous 1937 essay in *Uncle Tom’s Children* (1938), a collection of four stories set in the segregated South, he burst onto the literary scene with *Native Son* in 1940. This fierce, naturalistic debut novel about crime and punishment is an admixture of the age-old American racial and sexual taboo motif of a black man interacting with a white woman, a recontextualized lynching narrative, a realistic portrayal of black inner-city poverty, a MARXIST theorization of U.S. social formations, and a profound frustration at what the narrative depicts as well-intentioned whites’ inability to recognize the complex and heavily consequential intersectionality of class and race in American society. For good or ill, the favorable reception of *Native Son* labeled Wright as a writer of realist and naturalist “protest novels” (see NATURALISM, REALISM). Baldwin famously attacked Wright for this inclination in the 1949 essay “Everybody’s Protest Novel,” accusing Wright of producing in *Native Son* a propagandist work that diminishes the human complexity of the African American male protagonist, Bigger Thomas. The

essay, not surprisingly, ended the two authors’ friendship.

Ralph Ellison achieved literary fame with *Invisible Man* (1952), a modernist, experimental novel investigating the complexity of socially and individually responsible action in the U.S. before the civil rights movement. This jazz-influenced, stylistically virtuosic blues narrative tells the story of an intricate dialectic of hope and disillusionment in the life of a young Southern black migrant in New York City, explores the interconnectedness of black and white American destinies, and interrogates black identity, responsibility, (self-)sacrifice, and self-empowerment. This now-classic rendition of the theme of a young man’s odyssey in a changing U.S. continues to inspire both existential reflection and stylistic experimentation. It is difficult to overestimate *Invisible Man*’s importance for the later development of the African American novel and the American novel in general. Ellison’s second novel remained a perpetual work-in-progress that was eventually published posthumously, in heavily edited form, under the title *Juneteenth* in 1999.

The year 1953, when *Invisible Man* won the National Book Award, saw the publication of Baldwin’s first novel, *Go Tell It on the Mountain*, a BILDUNGSROMAN with autobiographical elements, about coming of age under the eyes of a strict father figure in a profoundly religious household in Harlem. Baldwin’s moving narrative about the yearning and anguish of body and soul has inspired later African American novels about fathers, sons, and religious commitment, such as Ernest J. Gaines’s *In My Father’s House* (1978), and about evangelical Afro-Protestant condemnation of homosexuality, as in Randall Kenan’s *A Visitation of Spirits* (1989) (See QUEER NOVEL).

Other African American novels from these decades include *The Street* (1946), *Country Place* (1947), and *The Narrows*

(1953) by Ann Petry; *Seraph on the Suwanee* (1948) by Hurston; *The Living Is Easy* (1948) by Dorothy West; *Maud Martha* (1953) by Gwendolyn Brooks; *Youngblood* (1954) by John Oliver Killens; *The Outsider* (1953), *Savage Holiday* (1954), and *The Long Dream* (1958) written by Wright during his French exile; *Giovanni's Room* (1956) by Baldwin, also written in France; *Tambourines to Glory* (1958) by Hughes; and *Brown Girl, Brownstones* (1959) by Paule Marshall. William Attaway, Carl Offord, Chester Himes, Curtis Lucas, Alden Bland, Willard Motley, William Gardner Smith, and Willard Savoy also published novels during this era.

THE 1960s TO THE PRESENT

Since the 1960s and particularly the 1970s, the number of African American novelists and novels has grown exponentially, amounting to a veritable explosion of creativity. The discussion below will, inevitably, be abbreviated. Further information can be found in Bernard W. Bell's wide-ranging 2004 study, which focuses mainly on novels published between 1983 and 2001 but discusses earlier eras as well.

From approximately the mid-1960s to the mid-1970s, Black Power's artistic sibling, the Black Arts Movement (BAM), with its fierce advocacy of what its proponents saw as the inseparable unity of the artistic and the political, helped black communities to keep alive their vision of the importance of creative production, even during the years when the civil rights era gradually waned. BAM authors did not choose the novel as their primary medium; in live communal gatherings, the needs of collective identity-building, sharing, and exhortation were better met by poetry and drama. Yet novels were published, too, including *The Man Who Cried I Am* (1967), by John A. Williams. Poet, playwright, and activist

Amiri Baraka (formerly known as LeRoi Jones), one of the leading lights of BAM, published *The System of Dante's Hell* (1965) in the same year he declared himself a black cultural nationalist. Whether *The System* is a BAM novel or represents a transitional period in Baraka's development is open to debate. In any case, the heightened black cultural consciousness influenced many novels not directly associated with BAM. For example, Toni Morrison's *The Bluest Eye* (1970) conducted a profound and insightful dialogue with the era's "Black Is Beautiful" motto.

In addition to Morrison, writers who embarked on their novelistic careers in the BAM era but are not primarily viewed as BAM authors include such variously oriented novelists as Margaret Walker, Ernest J. Gaines, painter and writer Clarence Major, Leon Forrest, Ishmael Reed, and John Edgar Wideman. Walker's first novel, *Jubilee* (1966), was the first neo-slave narrative, a retelling of the slave experience by means of a contemporary novel. This genre found further expression in, for example, Alex Haley's *Roots: The Saga of an American Family* (1976), which was adapted as a popular television series in 1977 (see ADAPTATION). However, the question of whether Haley's "saga" is a novel or a more historiographical text has been subject to intense debate. Other neo-slave narratives include *Flight to Canada* (1976), by Ishmael Reed; *Kindred* (1979), by Octavia E. Butler; *The Oxherding Tale* (1982) and *Middle Passage* (1990), by Charles Johnson; *Dessa Rose* (1986), by Sherley Anne Williams; the Pulitzer Prize-winning *Beloved* (1987), by Morrison; *Family* (1991), by J. California Cooper; and *Fragments of the Ark* (1994), by Louise Meriwether. Most of these works actively test and expand the boundaries of the genre of the neo-slave narrative. For example, Gaines's *The Autobiography of Miss Jane Pittman* (1971, TV adaptation

1974) recounts the story of a black Southern woman born into slavery who lives a long and full life and eventually witnesses the civil rights movement.

While M. Walker and Gaines write in a realistic and reflective mode, Reed, in particular, is a satiric and iconoclastic author who parodies any dogmatic artistic or political agenda, though he is profoundly aware both artistically and politically (see PARODY). His novels from the 1960s and 1970s include *The Free-Lance Pallbearers* (1967), *Yellow Back Radio Broke-Down* (1969), *Mumbo Jumbo* (1972), and *The Last Days of Louisiana Red* (1974). Wideman, another original voice and a winner of various prestigious awards, is a prolific and versatile writer of both fiction and autobiography. He has had an exceptionally long career as a novelist: his first novel, *A Glance Away*, was published in 1967 and his tenth one, *Fanon*, in 2008. *Philadelphia Fire* (1990), *The Cattle Killing* (1996), and *Fanon* are examples of novels in which Wideman utilizes postmodernist meta-fictional devices to combine the narrator's, and not infrequently, the author's, personal self-reflection with a keen scrutiny of history and historiography (see METAFICTION, MODERNISM).

Toward the end of the BAM era and after it, the 1970s and 1980s witnessed an unprecedented rise of African American women novelists, including Morrison, Toni Cade Bambara, Alice Walker, Gayl Jones, and Gloria Naylor. These authors have written extensively about black women's experience in the U.S. While deploying a plethora of literary styles and addressing a wide range of topics, they call attention to the ways in which racist, sexist, and class-based modes of oppression interlock in American society. They also portray African American women's journeys from cultural and political subalternity to agency and emphasize the importance of black female bonding.

Several African American women novelists have won major literary awards, including Alice Walker's 1983 National Book Award and Pulitzer Prize for Fiction for *The Color Purple* (1982) and Morrison's 1993 distinction as the first African American novelist to win the Nobel Prize for Literature. The events in the nine novels Morrison has published to date, *The Bluest Eye* (1970), *Sula* (1973), *Song of Solomon* (1977), *Tar Baby* (1981), *Beloved* (1987), *Jazz* (1992), *Paradise* (1998), *Love* (2003), and *A Mercy* (2008), are set in various historical contexts, including slavery, the Great Migration, the world war periods, the civil rights movement, and beyond, and cover a wide range of geographical locations. Since Morrison draws on both historical and psychological knowledge, the social and political consequences of TIME and place are powerfully reflected in the complex interior spaces of her fictional characters (see SPACE). Stylistically, Morrison's distinctive lyrical prose is in constant creative dialogue with various literary and historical sources, as well as with the vernacular roots of the African American literary tradition.

Recent decades have seen new genres firmly take root within African American literature: SCIENCE FICTION and speculative fiction (Samuel R. Delany, Jr. and Octavia E. Butler), the DETECTIVE NOVEL (Barbara Neely and Walter Mosley), popular fiction (Terry McMillan), and fiction by the "hip-hop generation" (Colson Whitehead). By now, the African American novel has grown into a multivocal and diverse tradition that demonstrates a keen awareness of its past and continuously transforms itself in dialogue with the present and the future.

The rise of academic black studies programs and departments in the wake of the civil rights movement enabled and empowered scholars of African American literature to dedicate their energies to researching the autobiographical and belletristic traditions

of African American letters. As a result, the study of African American literature, including the novel, is now a flourishing field of scholarship. Currently, creative writers actively produce new works, and scholars continue to both theorize and historically reconstruct the tradition of the African American novel.

BIBLIOGRAPHY

- Andrews, W.L. and M. Kachun, eds. (2006), "Editors' Introduction," in *Curse of Caste*.
- Bell, B.W. (1987), *Afro-American Novel and Its Tradition*.
- Bell, B.W. (2004), *Contemporary African American Novel*.
- Bone, R.A. (1958), *Negro Novel in America*.
- Byerman, K. (2005), *Remembering the Past in Contemporary African American Fiction*.
- Carby, H.V. (1987), *Reconstructing Womanhood*.
- Christian, B. (1980), *Black Women Novelists*.
- Christian, B. (1985), *Black Feminist Criticism*.
- Fabi, M.G. (2004), "Reconstructing the Race," in *Cambridge Companion to the African American Novel*, ed. M. Graham.
- Foster, F.S. (1994), "Introduction," in *Minnie's Sacrifice*, by F.E.W. Harper.
- Gates, H.L., Jr. (1988), *Signifying Monkey*.
- Gloster, H. (1948), *Negro Voices in American Fiction*.
- Hutchinson, G. (1995), *Harlem Renaissance in Black and White*.
- McCaskill, B. and C. Gebhard, eds. (2006), *Post-Bellum, Pre-Harlem*.
- Mulvey, C. (2004), "Freeing the Voice, Creating the Self," in *Cambridge Companion to the African American Novel*, ed. M. Graham.
- Reid-Pharr, R. (1997), "Introduction," in *Garies and Their Friends*, by F. Webb.
- Stepto, R.B. (1979), *From Behind the Veil*.
- Wall, C.A. (1995), *Women of the Harlem Renaissance*.

Allegorical Novel *see* Narrative

Amatory Novel *see* British Isles (18th Century)

American Novel *see* African American

Novel; Asian American Novel; Early American Novel; Jewish American Novel; Latina/o American Novel; United States (19th Century); United States (20th Century)

Ancient Narratives of China

YANG YE

In the Chinese tradition, fiction was, for a long time, generally considered to be low-brow and trivial as a literary genre. The Chinese term for fiction, *xiao shuo* (literally "small talk"), was used as early as in the *Monograph on Arts* in the *History of the Han*, a work from the first century CE, during China's Early Imperial Period, where it was defined as "street gossip, talk of the town, and hearsay from travelers," and those who engaged in the composition of *xiao shuo* were placed at the very last in the categorization of authors. Over many centuries, a large variety of miscellaneous writings fell under the genre of *xiao shuo*, or fiction, including MYTHOLOGY, fable, anecdote, and the supernatural tale.

Compared to other forms of fiction, the novel was a latecomer in the Chinese tradition, as it remained unknown until the end of the Mongol Yuan Dynasty (1279–1368), the first of two imperial Chinese dynasties when the Chinese people were governed by an ethnic minority. From the beginning of their rule, the Mongol monarchs abolished the civil service examinations, which had been a major channel for the educated Chinese to get appointed in government since the Sui Dynasty (589–618). Even when the examinations were resumed later, they had lost their significance to the learned Chinese who were thus marginalized in society, as they found little use for their literary talent in the composition of poetry and nonfictional prose, long regarded as the highbrow

and serious literary genres in the tradition. The decline of these genres, however, was a mixed blessing for Chinese literature, as it led to the rise of drama and fiction, especially the novel, in the period.

The first Chinese novel, the *Sanguo yanyi* (1522, known in the West as *Romance of the Three Kingdoms*), was generally attributed, not without some controversy, to Luo Guanzhong, about whose life little is known except that he was active at the end of the Yuan Dynasty. The novel takes the reader through nearly a century of the chaotic history of Early Imperial China, giving an exciting account of the numerous historical events up to the year 280 CE, ranging from intricate court intrigues and sweeping warfare, beginning with the downfall and disintegration of the Han Empire, the subsequent rise of three imperial states—each claiming to hold the heavenly mandate for the entire nation—to the eventual reunification of the country under the Jin Empire. Another early novel, the *Shuihu zhuan* (1614, *Water Margin*), which tells the story of a fraternal band of philanthropic robbers during the Northern Song Dynasty (960–1126), was also attributed to Luo Guanzhong, though with considerable revision by another author, Shi Nai'an.

As represented by these two works, the rise of the Chinese novel in the fourteenth century developed from the profession of storytelling which, as a form of popular entertainment, dated back to the Song dynasty. Professional storytellers learned some of their NARRATIVE TECHNIQUE from the missionary activity of Buddhist monks during the earlier Tang Dynasty (618–907), who would elaborate on the stories from the Sanskrit *sūtras* while preaching to a general audience. Such elaborations developed into a kind of prosi-metric text, the *bian wen* (“Transformation Text”), which bears some similarity to the medieval

European *chante-fable*, a mixture of verse (singing) and prose (storytelling).

Unlike their European counterparts, early Chinese novelists, such as Luo Guanzhong and Shi Nai'an, did not have anything like Homer's *Iliad* and *Odyssey* (ninth or eighth century BCE) as their classic narrative models from antiquity. The earliest anthology of Chinese poetry, the *Shi jing* (*Book of Songs*), was used by Master Confucius (551–479 BCE), the great educator and a central figure in ancient China, as one of the primary texts in his curriculum. It contains a few songs which tell the stories of ancient tribal leaders. Categorized as “Dynastic Legends” by their renowned English translator, Arthur Waley (1889–1966), these songs may be considered as mini-epics in content. For example, poem #245, *Sheng ming* (“Giving Birth to People”), tells the story of a legendary leader named Hou Ji. After treading on the big toe of God's footprint, his mother gets pregnant and gives birth to him. Deserted and left in the wild, he is protected by cattle, sheep and birds. Then he grows up to become the founder of agriculture. However, in limited length of no more than sixty to seventy lines, these songs are rather undeveloped as narratives. For their primary source of inspiration, China's earliest novelists relied on a body of ancient narratives, contained primarily in works of history.

ANCIENT NARRATIVES IN EARLY HISTORY CLASSICS

In ancient China, the boundaries between history and literature were rather blurred. Both served as narrative discourse that interacted with their historical situations, authors, and readers. As late as the sixth century CE, as evidenced in Liu Xie's (ca. 465–ca. 532) monumental work of literary criticism, the *Wenxin diaolong* (*Literary Mind and the Carving of Dragons*), history

was placed, along with other forms of writings which included the Confucian classics and poetry, under the general category of *wen*, a word which etymologically referred to “pattern,” although it gradually evolved in later ages into a Chinese equivalent for the English word “literature” in the latter’s more strict usage. Just as the sun, moon, and stars constitute the “celestial pattern” (*tian wen*), and the mountains and the rivers the “earthly pattern” (*di wen*), all forms of writings form the “human pattern” (*ren wen*), or the pattern of human mind.

It was during the reign of Emperor Wu (“Martial Emperor,” r. 141–87 BCE) of the imperial Han Dynasty (206 BCE–220 CE) that Confucianism gained its dominance over other schools of intellectual thought in Chinese civilization. Ancient texts, presumably used by the Master himself for his students, were canonized as *jing* (“Books” or “Scriptures”), and became part of the basic education of aristocrats and government officials.

Two works of history were among them. The *Shu jing* (Book of Documents, pub. in English *The Shoo King or the Book of Historical Documents*) includes different types of speeches given by leaders of the state, chronologically arranged, from the ancient royal dynasties. The *Chun qiu* (Spring and Autumn Annals, pub. in English *The Ch’un Ts’eu, with Tso Chuen*), a chronological history (722–481 BCE) of Confucius’s native Lu Dukedom, was the very first of its kind in China. None of these two works, however, may be considered as narrative in nature. The former, one of the earliest texts from antiquity, was composed in an abstruse language which had become obscure even to scholars of the Han Dynasty. The latter, in its brief, laconic accounts, is to the modern eye no more than a simple table of historical events. However, one of the works generated by the latter, the *Zuo zhuan* (Zuo Commentary on Spring and

Autumn Annals), turned out to be China’s earliest narrative history.

Attributed to Zuo Qiuming, a younger contemporary of Confucius, Zuo Commentary is widely accepted by scholars today as an “authentic” text from no later than the fourth century BCE, containing material from even earlier times. It consists of protracted accounts, or rather “elaborations,” of the events listed in Spring and Autumn Annals, much enlivened with dialogues and descriptive details. For example, from a one-line register in Spring and Autumn Annals, “Count of Zheng prevailed over Duan at Yan,” Zuo Commentary offers a lengthy, complicated and dramatic account of the Count’s ambivalent relationship with his mother owing to her preference that his younger brother Duan should be the ruler, the conflict and struggle between the brothers, the triumph of the Count, and the eventual reconciliation between the Count and his mother. In particular, the accounts of the five major wars which took place during the period are strong in literary elements. They tell a vivid story of the complex causes and effects of the wars and the interrelations of the various political parties engaged in them, covering both the maneuvering prior to the warfare, as represented by intense diplomatic activity, and its aftermath. In addition, many historical figures of the period come alive from the characterization in the episodic description.

Another work of strong narrative nature appeared from the subsequent period of Warring States (476–221 BCE), when China entered an era of division before its eventual unification under the Qin Empire, China’s first imperial dynasty (221–206 BCE). During this period, some of the more powerful feudal states began to annex smaller neighboring states to consolidate their rule, and later, the leaders of these states began to give themselves the title of “king.” In their constant struggles for dominance,

they relied on the advice of professional political strategists, who used wit and eloquence as their “selling points” in persuading the rulers. The *Zhanguo ce* (*Records of the Warring States*), a book about the activity of these strategists, was compiled by Liu Xiang (ca. 77 BCE—6 BCE) of the Han Dynasty, who was said to have direct access to the archives of the imperial library. It was based on various early sources from the archives, especially the work of Kuai Tong, a scholar who lived in the early years of the Han Dynasty. Conventionally categorized as a work of history, much of its content is more fictitious than factual. Notwithstanding its highly dubious historical authenticity, the book contains lively dialogues and speeches of the strategists and some other historical figures of the time, with much rhetorical flourish. Not infrequently bombastic and flamboyant in expression and tone, the speeches sparkle with sharp wit and sardonic humor, displaying the personality of the speakers. In particular, the book provides a model for later writers to use DIALOGUE for characterization.

Both Zuo Commentary and *Intrigues of the Warring States* became a part of the required reading for educated Chinese through the ages, and their influence went beyond that of average works of history. In fact, the *Dong Zhou lieguo zhi* (*Records of the Various States of the Eastern Zhou*), a popular historical novel attributed to Cai Yuanfang of the eighteenth century, incorporated a large amount of material directly from these two works.

SIMA QIAN'S HISTORICAL RECORDS

In the Chinese tradition, Sima Qian's *Shi ji* (*Historical Records*) has always been considered not only a work of history but also a monument of literature, even after these two disciplines gradually gained their respective status and began to be considered as different

GENRES of writing. In the former category, the work initiated the historiographic structure which had since become the fixed format for almost all later dynastic histories; in the latter it stands as a model par excellence for a variety of genres, from the belles-lettres prose (which, along with poetry, represents the highest form of traditional literature prior to Late Imperial China) to novels and shorter fiction, and became an inexhaustible source for later adaptations of various art forms, including drama, opera, and even modern cinema.

The author, Sima Qian, was appointed to the post of his father, the official Grand Historian of the central government, after the latter's death. Having access to the imperial archives, he continued his father's unfinished work of writing a general history. In 99 BCE, he made the political blunder of defending a military general who had surrendered to the Xiongnu, the nomadic tribes from Inner Asia who were a constant threat on China's northwestern border, and was thrown into prison and sentenced to death. Eventually he accepted the only other option: he suffered the humiliation of castration and became a palace eunuch, as prescribed by the law of the time, so as to live on to complete his history.

Throughout literary history, East or West, adversity and misfortune have often turned out to be a catalyst for masterworks. The eventual completion of Sima Qian's monumental book was a personal triumph for its author. In its quintuple structure of five parts, it covers the history of nearly three millennia on a comprehensive scale, covering political, military, cultural, and economic aspects. The first part consists of twelve Basic Annals, with the first five devoted to the prehistoric legendary kings and dynasties from the ancient royal Xia Dynasty to the imperial Qin Dynasty, and the other seven devoted to individual rulers from the First Emperor of the Qin to the Martial Emperor of the Han, under whose

reign the author lived. The second part is made up of ten Chronological Tables, covering various historical periods. These are followed by the third part in eight Monographs, each of which gives a diachronic survey of specific topics such as Rituals, Music, Legal Codes, and Astronomy. The fourth part includes thirty chapters on Hereditary Houses, devoted mostly to feudal lords of various periods but also, interestingly, Chen Sheng (d. 208 BCE), the leader of the revolt which led to the termination of the Qin dynasty, and Confucius (551–479 BCE), the towering cultural figure. The last part consists of seventy chapters, mostly biographies of historical figures and a number of social groups, six accounts of frontier regions that include Xiongnu, Korea, Ferghana, and Vietnam, to be concluded by a Self-Account of the author himself.

While earlier works of history, including Zuo Commentary, concentrated on events, *Historical Records* shifted the nucleus of attention to people. Many of the chapters, especially the part concerning the more recent history of the Han, provided an emotional outlet for the author's pent-up indignation at social injustice. This is most evident in some of the biographies in the work—his constant love and sympathy for those who, like him, encountered misfortune in life, his hate and anger toward those who prospered through inflicting pain and suffering on others—all these may be regarded as Sima Qian's response to the challenge of his personal tragedy (see LIFE WRITING).

HISTORICAL RECORDS AS ANCIENT NARRATIVE: A COMPARISON WITH CLASSICS OF WESTERN HISTORY

As ancient narrative, *Historical Records* bears more comparison with ancient works of Greek history such as Herodotus's *Histories* (fifth century BCE) and Thucydides's

Peloponnesian War (fifth century BCE) than with the Homeric epics. All these works of history, East or West, went through a kind of "pregeneric plot structure" and a "poetic process" (1979, 60–61), in Hayden White's terms (1979, *Tropics of Discourse*, 60–61), in the manipulation of their material (which reminds us of the Russian Formalist concept of *fabula* and *sjuzet*; see FORMALISM). They all use various literary devices to create dramatic effects, and share a concern with the didactic import of the account, an emphasis on the importance of the individual, skepticism of and relative lack of interest in the supernatural, and a heavy reliance on semi-fictitious—sometimes simply fictitious—conversations and speeches placed in the mouths of their historical figures like characters in fiction. Most importantly, they all present their story in a kind of dramatic "plot" which, as White argues, "is not a structural component of fictional or mythical stories alone; it is crucial to the historical representations of events as well" (1987, *Content of the Form*, 51).

Like Herodotus, in his life Sima Qian traveled widely and showed a strong interest in regions beyond the central empire. As Burton Watson has pointed out, he was restricted by the limitations of geography and means of transportation, and was therefore unable to witness any foreign culture that was (or that he could have considered) more "civilized" and had a longer history than his own, as Herodotus had during his trip to ancient Egypt. Even so, some modern Russian scholars of the history of China and Inner Asia have pointed out the significant scholarship and trustworthiness of materials as displayed in the accounts of north-western border regions in *Historical Records*. In terms of research and scholarship, however, Sima Qian is somewhat closer to Herodotus than to Thucydides, as he had an inclination to rely on anecdotes and hearsay without verifying them with concrete historical evidence.

The structure of *Historical Records* is different from that of the Greeks, partially because the Greeks were primarily writing about a certain period only, while Sima Qian tried to cover a much longer history. The best part of the Chinese work, though, is in the sections related to the founding and development of the author's own Han Dynasty, which count among them five Basic Annals, three Chronological Tables, all eight Monographs, about ten of the Hereditary Houses, and some sixteen Biographies. Among these, the reader may find much that is overlapping, but never redundant—one of the greatest merits of the work. In particular, the narratives about Emperor Gaozu (256–195 BCE), the founder of the dynasty, show the author as a great master of storytelling. In describing each of the historical figures of this period, including Gaozu and his major rival, Xiang Yu (232–202 BCE), as well as the numerous consultants on both sides, the author keeps shifting his angles of observation and perspective in the various chapters and sections. It is almost like watching a traditional Chinese landscape in the form of a long horizontal scroll; instead of a central focus, as in European painting since the Renaissance, what we have is a kind of “shifting perspective.” In such a polycentric, even polyphonic structure, the capitalized, singular History has become a number of small-case, plural histories. Without resorting to the numerous usages of digressions and asides, as we so often find in the straightforward, primarily linear narration of the Greeks, Sima Qian presents a lively panoramic view of the age, and historical figures that come alive through his multilayered description. Such a special feature of *Historical Records* certainly offers a source of inspiration, in later ages, for China's professional storytellers and early novelists to treat complex stories with multiple plotlines.

Sima Qian also shares an interest with Plutarch (46–119 CE), whose *Vitae* consists of twenty-three pairs of Greek and Roman

figures. Quite a few of Sima Qian's biographies are that of two figures in the same field, juxtaposed for the sake of comparison. For example, two literary authors, Qu Yuan (ca. 339–287 BCE) and Jia Yi (201–169 BCE), who belonged to two different historical periods, are placed in the same chapter. A chapter of the biographies of good, worthy officials is followed by one of the cruel, evil ones. However, Sima Qian differs from Plutarch in a number of ways. Plutarch was obviously interested only in the elite statesmen and military generals whom he saw as symbols of noble character and heroic personality; even Aristotle was left out from *Vitae*, probably from the author's Platonic view that poets should be kept out of the ideal Republic. Sima Qian's interest was far more comprehensive. Not only did he include poets and other literary authors, but he also devoted much of his work to other types of civilians and obscure people of humble social status, such as businessmen, court jesters, chivalrous warriors, herbal doctors, and even fortunetellers.

In terms of style, Sima Qian seems to be more terse and matter-of-fact in comparison to the Westerners, especially to Herodotus. The Greeks already had the great Homeric epics as a model of narration, and they were able to describe group and collective scenes as well as individuals, whereas Sima Qian's narration seems to concentrate on the latter. It would be difficult to find in *Historical Records* such detailed and vivid scenes as in the last few books of Herodotus, like the battles of Marathon and Thermopylae and the sea battle at Salamis between the Greek and the Persian navies, or the moving description of the ill-fated Sicilian expedition in Books 6 and 7 of Thucydides, which was acclaimed by John Stuart Mill (1806–73) as “the most powerful and affecting piece of narrative perhaps in all literature” (1867, “Inaugural Address”).

However, Sima Qian's language is also vivid and fresh in his own way, demon-

strating that the great historian was also insightful about the human psyche, as his monumental work is fully expressive of the spectrum of human emotions, to convey the gamut of the “Seven Emotions”—in Buddhist terminology—of joy, anger, sorrow, fear, love, hate, and desire. As the French critic Charles Augustin Sainte-Beuve (1804–69) has argued, a true classic is from “an author who has enriched the human mind and increased its treasures . . . revealed some eternal passion in that heart where all seemed known and discovered . . . who has spoken to all in his own peculiar style, a style that is found to be also that of the whole world, a style new without neologism, new and old, easily contemporary with all time” (1850, “What is a Classic?”). In that sense, it is no wonder *Historical Records* has been placed in the highest echelon in the Chinese literary canon, and served as a model for the early Chinese novelists.

ANCIENT NARRATIVES IN WORKS OF HISTORY AFTER *HISTORICAL RECORDS*

After *Historical Records*, the first work of history modeled on its structure was the *Han shu* (*History of the Han Dynasty*), a labor of love from two generations. It was started by Ban Biao (3–54 CE), who wrote a sequel to *Historical Records* in 65 chapters on events after Sima Qian’s lifetime. His son Ban Gu (32–92) continued on the basis of his father’s work, adopted a large amount of material from *Historical Records*, and contributed with his own expansion. Eventually it was completed, under imperial commission, by Ban Gu’s younger sister, Ban Zhao (ca. 49–ca. 120). Considerably longer than *Historical Records*, it focuses solely on the Han Dynasty, from the founding of the empire to the death of Wang Mang, the Usurper, covering the period from 206 BCE

to 23 CE. In this way it became a model in its own right for all later dynastic histories in China. Both *Historical Records* and *History of the Han Dynasty* have been celebrated as classics and reached a wide audience, and for a long time, from the later Han Dynasty to the Tang Dynasty, the latter even found more admirers among its readers than the former.

The next work in the long line of official histories, the *Sanguo zhi* (*History of the Three States*), became the direct model of inspiration for China’s first novel. It was written by Chen Shou (233–97), who witnessed a large part of the chaotic period of the so-called “Three Kingdoms” of the Wei, the Shu, and the Wu, but lived well after the reunification of the nation under the Jin Dynasty. Of the five parts found in *Historical Records* and *History of the Han Dynasty*, Chen Shou adopted only the Annals for the sovereigns, and the Biographies and Accounts, treating nearly five hundred individuals and a few neighboring countries, including Korea and Japan. He originally composed the work as three separate histories, and it remained as such until it was first printed as one single work in the Song Dynasty. More than a century after Chen Shou’s death, the work was greatly enriched and expanded by the *Commentary*, completed in 429, by another historian, Pei Songzhi (372–451), who incorporated valuable material from hundreds of various sources found during his lifetime, much of them narrative in nature; many of the original sources are no longer extant today. Like his predecessors from Zuo Qiuming to Sima Qian, he included anecdotes and hearsay in his work. The history and the attached *Commentary*, a combined effort of Chen Shou and Pei Songzhi, laid a solid foundation for China’s first novel; indeed, many of the dialogues and detailed descriptions in the latter have been found to be cited directly from the former.

ANCIENT NARRATIVES IN OTHER EARLY CHINESE WORKS

Of course, ancient narratives were not restricted to works of history only, but also were found in other classics from early China. The *Lun yu* (*Analects*), a book about Confucius compiled by the Master's disciples and the disciples' disciples, contains in its twenty sections a total of nearly six hundred passages; while most consist of the Master's sayings or his conversations with disciples and followers, some offer details of his manner and way of living, including the way he sits and walks, even his idiosyncratic eating habits. These seemingly fragmented passages, like a thousand pieces of broken mirror, provide a vivid picture of the Master himself as seen in the eyes of his contemporaries when assembled. Because of the celebration of Confucianism in the Han Dynasty, the book gained great popularity. During the Southern Song Dynasty (1126–1279), the great Confucian scholar Zhu Xi (1130–1200) made it one of the “Four Books,” the essential texts for his students. Starting from the early fourteenth century, the “Four Books” became part of the basic curriculum required for the civic service examinations. *Analects* was thus integrated into China's collective consciousness.

The subsequent period of Warring States was not only one of constant warfare, but also known as an epoch of “A Hundred Schools of Contending Thoughts,” and some of the books that emerged in the period, from the numerous thinkers and their disciples, also contain ancient narratives which became models for later writers. Of these books, the *Zhuang zi* (*Zuangzi*), attributed to Master Zhuang Zhou (369–286 BCE) and his disciples, has long been acclaimed for its strong literary merits. Like the *Dao de jing* (*Book of Integrity and the Way*), attributed to Laozi (fifth century BCE) or Master Lao Dan, an older contemporary

of Confucius, but probably also from the Warring States period, *Zhuangzi* has been considered a classic text of Daoism which, along with Confucianism and Buddhism, formed the Three Teachings in Chinese civilization. Unlike *Book of Integrity and the Way*, which is terse in language and cryptic in content, *Zhuangzi* is marked by its fertile imagination and abundant usage of fable and myth. In its numerous conversations and stories, it creates a vividly graphic picture, largely fictitious, of Master Zhuang himself, who may be regarded as the persona of the work.

Another work from the same period, the *Meng-zi* (*Mencius*), was attributed to Meng Ke or Mencius (371–289 BCE), honored in later ages as the Second Sage of Confucianism, and his disciples. Like *Analects*, the book also consists largely of the thinker's conversations with his disciples and various rulers, though these are generally lengthier and more complete, and they share the eloquence and wit of those found in *Intrigues of the Warring States*. In particular, the book provides a lively account of the thinker himself, who initiated the Confucian convention of the “pride of the cotton-clad”—of a civilian who would nevertheless maintain his dignity and pride in front of kings and lords. Along with *Analects*, *Mencius* was included by Zhu Xi among the “Four Books” and thus has exerted a widespread influence through the ages.

In the field of fiction or *xiao shuo*, the genre which was not as highly considered as history and the works of the masters, ancient narratives were also found in a number of works. One of the earliest of these was the *San hai jing* (*Classic of Mountains and Seas*), a book which was probably also from the Warring States period, with later revisions. It contains brief, somewhat fragmentary, records of ancient Chinese geography, products, tribes, sacrificial offerings, customs, and habits, incorporating into its narration much of the supernatural, making it a major work (and

there were few of them) that preserved ancient Chinese mythology. During China's Age of Division (220–589), one of the works which fell under the category of *xiao shuo* but somewhat won more respect among the literati was Liu Yiqing's (403–44) *Shishuo xinyu* (*New Account of Tales of the World*), a collection of anecdotes about celebrities in history from the previous two centuries. Using some thirty-six categories such as "Virtue," "Speech," "Literary Talent," "Generosity," "Appearance and Behavior," "Willfulness," and "Frugality," it provides brief but often extremely vivid accounts of these historical figures in their daily life. The same age also saw the rise of another fictional subgenre, the short supernatural tale, called the *zhi guai* ("records of anomalies"), which was attributed by modern scholars to the popularity of witchcraft and the rise of Buddhism during the time. Several hundred of such tales in the three collections from this period, Gan Bao's (d. 336) *Soushen ji* (*In Search of the Supernatural: The Written Record*), *Soushen houji* (*More Records of the Search for the Supernatural*)—attributed to the famous poet Tao Qian (365–427), and Liu Yiqing's *Youming lu* (*Records of Light and Shade*), provide a rich source of imaginative literature from Early Imperial China. These short tales preceded the longer short stories of the supernatural that emerged during the middle period of the Tang dynasty (618–907), called the *chuan qi* ("passing on the strange"). However, for a long time, these were not taken seriously as literature.

THE COMING OF AGE OF THE NOVEL: THE DECREASING IMPACT OF THE ANCIENT NARRATIVES

The variety of ancient narratives in the Chinese tradition notwithstanding, works of history remained the major source of

inspiration for the rise of the Chinese novel, as evidenced in *Romance of the Three Kingdoms* and *Water Margin*. However, compared to the former of these two works which used an easy and plain literary Chinese, the latter was the first Chinese novel to adopt the vernacular language, which distanced it further from the influence of the ancient narratives than the former.

During the Ming dynasty (1368–1644), civil service examinations were reestablished, and those who passed the first level, the local exams, were placed on the government payroll so that they would work toward the next level, the provincial exams, thus creating a new large social class known as the *sheng yuan* ("government students"). Since the exams were held at long intervals, these students had an urgent need for reading matter as a break from their engagement with serious materials like the Confucian classics (the main subject in the exams). Publishing became an increasingly prosperous business to answer such a need, and along with it the popularity of the novel expanded. With the further development and the coming of age of the genre, however, Chinese novelists began to seek new inspiration and explore more original ways of composition.

The *Xiyou ji* (*Journey to the West*), with its earliest extant edition from 1592, was attributed, not without some controversy, to Wu Cheng'en. It was most likely a work that went through many revisions and elaborations of material that had evolved over a longer period of time than that of any single author. Notwithstanding the appearance of a complete translation in English, it remains better known to the Western reader in Arthur Waley's abridged version, *Monkey* (1943). The novel still assumes a historical framework and uses a real historical figure as one of its protagonists: the Buddhist monk Xuan Zang, or Tripitaka (596–664),

who singlehandedly made a round-trip pilgrimage to India in 628–45. However, it integrates much of the supernatural in the long tradition by creating for Tripitaka three disciples, Monkey, Pigsy, and Sandy, all with superhuman martial arts skills and other talents, as well as a White Horse which has transformed from a Dragon Prince, to keep the monk company on the journey and defend him against the numerous demons, monsters, and temptresses that they encounter. Hilarious in tone, the novel is full of wild imagination, poking fun at a pantheon of Buddhist and Taoist deities as well as at human society. Unlike *Romance of the Three Kingdoms* and *Water Margin*, *Journey to the West* no longer relies on the ancient narratives from history as its main source of inspiration, but instead incorporates materials of a much wider variety, including shorter supernatural fiction and transformation texts. Some scholars have even argued that the creation of the image of the Monkey may have come from Hanuman in *Ramayana*, the ancient Indian epic (see ANCIENT NARRATIVES OF SOUTH ASIA).

The *Jin ping mei* (*Plum in the Golden Vase*), the first printed edition of which contained a foreword dated to the winter of 1617, marked a large step in the development of the Chinese novel. In a hundred chapters and of anonymous authorship, it is the first Chinese novel that focuses on daily life within the enclosed world of an urban household, telling primarily a story that involves the relationship of the wealthy young merchant Ximeng Qing and his numerous wives, concubines, and mistresses. Notwithstanding its explicit and often graphic description of sex, it is a great novel of social criticism and may also be considered as a Chinese novel of manners. The historical background, placed in the earlier Song dynasty, is largely a pretense, as much of its description is devoted to the

contemporary Late Ming society. Here the trace of the ancient narratives is hardly discernible, if at all; instead, the author seemed to have incorporated materials from a vast variety of sources, many from popular culture, and made an almost clinical observation of the world around him at the time. Shortly afterward, there appeared another less known novel, *Xingshi yinyuan zhuan* (n.d., *Marriage Destinies to Awaken the World*), which tells a story of karma and retribution of two generations, with vivid portrayals of how two viragoes maltreat their henpecked husband. The publication of these two novels marked the rise of REALISM in the history of Chinese novels, and paved the ground for the emergence of Cao Xueqin's *Shitou ji* (1791, *Story of the Stone*)—also known as *Honglou meng* (1754, *Dream of the Red Chamber*), widely acknowledged as the greatest Chinese novel of all time.

SEE ALSO: Gothic novel.

BIBLIOGRAPHY

- Allen, J.R. (1981), "An Introductory Study of Narrative Structure in the *Shi ji*," *Chinese Literature* (CLEAR) 3: 31–66.
- Egan, R. (1977), "Narrative in the *Tso chuan*," *Harvard Journal of Asiatic Studies* 37: 323–52.
- Hanan, P. (1961), "A Landmark of the Chinese Novel," in *Far East*, ed. D. Grant and M. MacLure.
- Hanan, P. (1962), "The Text of the *Chin P'ing Mei*," *Asia Major* 9/1: 1–57.
- Hsia, C.T. (1968), *Classic Chinese Novel*.
- Mair, V.H., ed. (2001), *Columbia History of Chinese Literature*.
- Roy, D.T., trans. (1993–2006), *Plum in the Golden Vase, or Chin P'ing Mei*, 3 vols.
- Shih, V.Y., trans. and annot. (1959), *Literary Mind and the Carving of Dragons*.
- Strassberg, R., trans. (2002), *Chinese Bestiary*.
- Waley, A., trans. (1996), *Book of Songs*, repr., ed. J. R. Allen.
- Watson, B. (1958), *Ssu-ma Ch'ien*.

- Watson, B. (1962), *Early Chinese Literature*.
- Watson, B. (1989), *Tso chuan*.
- Watson, B. (1993), *Records of the Grand Historian of China, Translated from the Shih chi of Ssu-ma Ch'ien*, rev. ed., 3 vols.
- White, H. (1979), *Tropics of Discourse*.
- Wu, Y. (1995), *Chinese Virago*.
- Ye, Y. (2000), "Jin Ping Mei (Plum in the Golden Vase)," in *Encyclopedia of Literary Translation into English*, ed. O. Classe, vol. 1.
- Ye, Y. (2000), "San Guo Zhi Yan Yi (*Romance of the Three Kingdoms*)," in *Encyclopedia of Literary Translation into English*, ed. O. Classe, vol. 2.
- Ye, Y. (2000), "Shui Hu Zhuan (*The Water Margin*)," in *Encyclopedia of Literary Translation into English*, ed. O. Classe, vol. 2.
- Yu, A.C. trans. (1977–83), *Journey to the West*, 4 vols.
- Yu, A.C. (1988), "History, Fiction and the Reading of Chinese Narrative," *Chinese Literature (CLEAR)* 10:1–19.

Ancient Narratives of South Asia

LAWRENCE McCREA

South Asian literature, in the broadest sense of that term, begins with the Vedic scriptures, the earliest of which is the *Rigveda* (ca. 1500–1000 BCE). The earliest portions of the Vedic corpus consist of versified hymns, typically addressed to one or more divine beings and invoking their blessings. These hymns contain frequent allusions to what must have been well-known stories of the deeds of the gods, but these are generally brief and cryptic. A few hymns take the form of dialogues, but these too are opaque and allusive; there is little in the way of straightforward narrative. The later Vedic canon, particularly the prose texts called *Brahmanas* (ca. 1000–500 BCE) that grew up around the earlier collections of hymns, contains many, mostly brief, narrative sections, some providing context for the hymns themselves, and others explaining or providing justifications for elements of the elaborate rituals prescribed by the texts.

THE MAHABHARATA AND THE RAMAYANA

Full-fledged narrative literature comes into its own for the first time with the emergence of the two great Sanskrit epics, the *Mahabharata* and the *Ramayana*. These texts would appear to have developed out of an oral EPIC tradition, and presumably underwent a long process of development, but took on something close to the current shape around the beginning of the first millennium CE. These two vast texts—the first consisting of roughly 25,000 verses, the latter of 100,000 even in its shortest versions—are remarkably similar in their form and language, and represent a major break with previous Sanskrit compositions. Both texts, in addition to presenting stories of far greater length and complexity than any produced up to that time in South Asia, have highly sophisticated NARRATIVE STRUCTURE, involving multiple-FRAME stories and self-referential descriptions of their own composition and transmission.

The *Ramayana* is traditionally considered to be older than the *Mahabharata*, though most modern scholars, on linguistic and stylistic grounds, consider it to be somewhat later (see LINGUISTICS). It is regarded as the "first poem," and the poem itself describes its own author's discovery of the poetic form, which he produces spontaneously upon witnessing a bird's sorrow at the loss of its mate. This author, the brahmin sage Valmiki, having discovered the verse form, seeks a human subject worthy to be memorialized by means of it and finds one in Rama, the prince of Ayodhya. Rama is presented explicitly as a paragon of all human virtues and is said in fact to be an incarnation of the supreme god Vishnu. Deprived of the rulership of the kingdom and forced out into the wilderness through the machinations of a scheming stepmother (who desires the throne for her own son), Rama

selflessly accepts his exile to defend his father's honor. During his sojourn in the forest, Rama's wife Sita is abducted by the ten-headed demon Ravana, but, after fighting a war to destroy the demon and free his wife, Rama refuses to accept her back, again for ostensibly selfless motives: as king, he fears that the scandal of remaining with a wife who has dwelt in the house of another will pose a threat to public morals. Pregnant and forlorn, Sita is taken in by the brahmin Valmiki—the inventor of poetry and author of the *Ramayana*. She gives birth to twins, whom he trains to recite his composition. The frame story of the *Ramayana* describes its own initial public performance, in which Rama's own tale is told to himself by his own (as yet unrecognized) twin sons.

The *Mahabharata* has a similarly elaborate and recursive frame story and a similarly involved author—Vyasa, who is grandfather to the main protagonists and antagonists of the story. But, it presents a far darker image of the realities of rulership and the human quest for power. The central story concerns the struggle between two sets of cousins for control of the kingdom of Hastinapura. It culminates in a massive war which wipes out nearly the entire warrior class and brings despair to both winners and losers. Its heroes, the five Pandava brothers, are, like Rama, idealized figures, but the text goes to great lengths to show the moral compromises they are forced to make in their struggle for power. The *Mahabharata* also resembles the *Ramayana* in that it is centrally concerned with the deeds of a human incarnation of the god Vishnu. Yet the narrative role of this divine manifestation is quite different. The Krishna of the *Mahabharata* is not the hero of the epic and is not presented as a moral exemplar and a model for human, and specifically royal, emulation, as Rama explicitly is. He appears as a friend and adviser to the Pandavas and

is presented as something of a trickster, manipulating events from behind the scenes and aiding the Pandavas in their quest for power, often by pressuring them to adopt underhanded means against their enemies.

Into and around the central story of the Pandavas' struggle for power the *Mahabharata* weaves a great deal of peripheral material: supplementary narratives of both human and divine action, as well as extensive legal and moral instruction on, for example, the duties of kingship. Indeed, the *Mahabharata* comes to be seen as something of a cultural encyclopedia, and famously says of itself that "what is not found here, is found nowhere" (1.56.34).

A somewhat later text which shares many features with the two principal Sanskrit epics, and which bears a similar literary and cultural destiny, is the *Harivamsha*, or "Lineage of Hari." This text is traditionally regarded as an addendum or appendix to the *Mahabharata*, and is concerned principally with relating the life story of the incarnate god Krishna, in particular the story of his early life in disguise as a cowherd and his killing of his uncle Kamsa, who usurped the throne of his family's ancestral kingdom of Mathura (events which are occasionally alluded to in the *Mahabharata*, but not related at length, despite the central position of Krishna in the main narrative). The *Harivamsha* provided the model for later accounts of Krishna's early life (a major focus of later Hindu devotionalism), most notably that of the (ninth-century) *Bhagavatapurana*.

Modern scholarship on the Sanskrit epics has made much of the supposed GENRE distinction between the two texts: the *Mahabharata* is classified as *itihasa* or "history," in part because of the large amounts of legal and didactic and supplementary narrative material it contains. The *Ramayana*, because of its account of its own origin through the genesis of the verse form, is

classified as *kavya*, or “poetry.” But this distinction is both overstated and highly misleading. It is abundantly clear from the later references to and discussion of these works by poets, commentators, and literary theorists that they were each regarded as both *itihasa* and *kavya*—both accurate accounts of historical events and works of literary art. And it is this dual character that is most strikingly evident in the literary legacy of these texts.

DIDACTIC AND POETIC NARRATIVE

The Sanskrit epics come to serve as inspirations and as models for two rather different streams of literature in premodern South Asia. In both of these streams narrative remains a central preoccupation but is seen as serving different purposes in each. Viewed as *itihasa* (“history”), the epics become the archetype for the large body of texts known as *puranas* (“ancient texts”). These voluminous compendia of traditional lore cover a wide range of topics, conventionally grouped under five headings or *lakshanas*: *sarga* (the creation of the world), *pratisarga* (“secondary creation” by lesser gods or demiurges), *vamsha* (lineages of kings), *manvantaras* (the ages of the world), and *vamshanucarita* (the deeds of the royal dynasties). As this list suggests, these texts devote a great deal of attention to both mythical and dynastic history (see MYTHOLOGY). In addition, they carry on much of the religious and didactic function of the epics, relating further narratives of the gods and their incarnations, and prescribing modes of worship. Like the *Mahabharata* before them, they often contain long instructional passages describing proper legal procedures and even rules for the construction of buildings or the writing of poetry.

But, in addition to providing the model for the *Puranas*, the two Sanskrit epics also

come to be seen as the prototypes for a quite different sort of narrative literature: *kavya* (poetry or belles-lettres). *Kavya* is defined not by its form—there are both prose and verse *kavyas*—but by its function: it is conceived of by the indigenous literary tradition as a type of text concerned primarily not with providing information or instruction (whether religious or worldly), but with directly producing a pleasurable experience for the reader. *Kavya* is recognized as comprising a wide variety of prose and verse literary forms, as well as drama (usually consisting of a mixture of prose and verse). Diverse as it is, the *kavya* tradition looks back to a single work, the “first poem,” the epic *Ramayana*, as its origin and archetype.

The various genres of *kavya* differ in the extent to which they depend on narrative for their aesthetic effectiveness. Some, e.g., lyric poetry, lack any continuous narrative thread. Others, such as drama and the later court epic (*mahakavya*—literally Great Poem) are built around at least a minimal narrative frame but rely to a considerable extent on extended description and elaborate figuration (including puns and other forms of complicated wordplay) for their literary effectiveness. Yet there was also a substantial genre of narrative-driven texts (some prose, some verse) which came to exercise a major impact on South Asian and ultimately world literature.

The seminal work in this tradition of story literature was the *Brihatkatha* (Great Story) of Gunadhya. This vast collection of stories was probably composed or compiled in roughly the second century CE. The original version of this work is lost, with only a few quotations preserved in the works of later literary critics. What we know of the work is based chiefly on several later TRANSLATION and ADAPTATIONS. There are three such adaptations in Sanskrit—the *Brihatkathashlokasamgraha* (eighth century?,

Summary of the Brihatkatha in Verse) of Budhasvamin, the *Kathasaritsagara* (eleventh century, Ocean of Rivers of Story) of Somedeva, and the *Brihatkathamajari* (eleventh century, Garland of Great Stories) of Kshemendra—as well as a partially extant Tamil version and a condensed version (fifth century?) in the Prakrit work *Vasudevahindi* of Sanghadāsa.

The *Brihatkatha* was composed not in Sanskrit, the dominant literary language of the time, but in Paishachi (Demonic), a dialect of the Middle Indic Prakrit language mentioned in several early grammars but lacking any extant literature apart from the few surviving fragments of the *Brihatkatha*. The frame story found in several of the later adaptations explains that the author's choice of language was determined by his loss of a bet with the grammarian Sarvavarman over who could most effectively teach the king to speak proper Sanskrit. Gunadhya, as the loser of the bet, was prohibited the use of Sanskrit, and therefore composed his story collection in Paishachi.

Like the *Ramayana* and especially the *Mahabharata* before it, the *Brihatkatha* is structured as a frame story with multiple embedded narratives. The central story concerns the sexual and political adventures of the Udayana, the king of Kaushambi, and of his son Naravahanadatta, whose romantic pursuit and marriage of a series of semi-divine princesses known as *vidyadhari*s (bearers of knowledge) form the primary narrative thread. But the text, at least as far as one can judge from later versions, appended a great many digressive and peripheral narratives to this central thread, becoming something like an encyclopedia of stories and providing the most important model for later story collections.

Of the many South Asian story collections composed on the model of the *Brihatkatha*, the one that exercised the greatest overall influence on world literature was

undoubtedly the *Panchatantra*. Like many works from this period in South Asia, the *Panchatantra* has a complex textual history and exists in several widely divergent recensions (see EDITING). It was probably first compiled in the fourth or fifth century CE. The author's name is given as Vishnusharman. The work is a collection of didactic tales, grouped into five *tantras* (systems), and is designed primarily to impart lessons in political policy and morality. Most of the tales it contains are in the form of fables with animal characters. Many of the stories are drawn or adapted from earlier works, such as the *Mahabharata* and the Buddhist scriptural canon, which contains a collection of stories of the Buddha's *jatakas* (prior incarnations), many of which depict the lives of the Buddha in animal form.

The *Panchatantra* proved to be extremely popular and spread rapidly beyond the confines of South Asia. It was translated into Pahlavi (medieval Persian) in the mid-sixth century and into Arabic in 750 CE. Many stories from the *Panchatantra* found their way into later story collections in Arabic and Persian, as well as in European collections, for instance, in medieval versions of Aesop's *Fables*. Perhaps more importantly, it seems to have popularized the form of the frame-linked story collection in the Islamic world and beyond, providing the model for later works such as, most famously, the *Thousand and One Nights* (ninth century) and, indirectly, European works such as *The Decameron* (ca. 1350), *The Canterbury Tales* (ca. 1400), and *The Manuscript Found in Saragossa* (1810).

While no other South Asian story collection exercised so great an impact on world literature, there were several others that spread in similar ways, most notably the *Vetalpanchavimshati* (Twenty-five Tales of the Vampire) and *Shukasaptati* (Seventy Tales of the Parrot), which was translated/

adapted into Persian in the fourteenth century as the *Tutinama*.

POETIC NARRATIVE IN THEORY AND PRACTICE

However, despite the existence of this extensive and influential body of story literature in premodern South Asia, the literary status of this narrative-driven prose genre is somewhat ambiguous, at least in the view of Sanskrit literary critics and aesthetic theorists. These theorists draw a sharp distinction between instructive or useful literature and art literature (*kavya*), and place texts in which narrative content is the primary concern in the former category. This attitude is summed up in an often quoted remark from the (lost) *Hridayadarpana* (Mirror of the Heart) of the tenth-century Kashmiri theorist Bhattanayaka: “Among the types of literature, people distinguish ‘scripture’ as that which depends on the preeminence of word; that in which meaning is the essential element is ‘narrative’ [*akhyana*]; but, where both word and meaning are secondary, and the expressive process is the main thing, people consider this to be *kavya*.” In scripture it is the precise wording that matters most—the text must be retained and recited exactly as it always has been to be ritually efficacious. In narrative literature (and here Bhattanayaka is thinking primarily of religious/didactic narrative such as that found in the *Puranas*), it is the meaning, the informational content, and not the precise wording, that matters above all. But poetry, for Bhattanayaka, differs from both of these, in that both the precise sounds and the meaning are secondary; it is the specifically literary and aesthetic mode of expression that matters most. Thus, for him, poetry, that is, aesthetically oriented literature, is defined in part precisely by its deemphasis of narrative. This general attitude is linked to

the tendency, already noted, to see *kavya* as primarily intended to produce pleasure in its audience, rather than to serve any informational or didactic purpose.

Thus at the theoretical level there is taken to be a clear divide between narrative and aesthetically oriented literature or *kavya*; in the former, informational content—both story elements and any explicit or implicit didactic message they convey—should predominate, whereas in the latter this content should be deemphasized and priority given to the development of a pleasing or aesthetically compelling mode of expression. In reality what we see is less the sharp division presupposed by Bhattanayaka’s typology than a continuum running from more explicitly didactic works such as the *Panchatantra* to more aesthetically minded treatments of narrative. This range is reflected perhaps most clearly in the variety of Sanskrit prose works produced from the mid-to late first millennium. Some of these works, like the story collections alluded to earlier, are very much content driven, with the primary emphasis on plot and character. In others, however, the narrative is a fairly minimal frame, serving primarily as a vehicle for the deployment of elaborate description, figuration, and other literary devices (see RHETORIC).

The Indian poetic theorists generally recognize two genres of prose *kavya*: *katha* (story—the genre to which the *Brihatkatha* and the *Panchatantra* belong) and *akhyayika* (biography). According to the earliest surviving work on poetic theory, the (seventh-century) *Kavyalamkara* (Ornament of Poetry) of Bhamaha, a “biography” ought to be narrated by the hero himself, and a “story” by someone other than the hero. But, in his own *Kavyadarsha* (Mirror of Poetry) Bhamaha’s near contemporary Dandin (an important prose writer in his own right) rejects this distinction. In general, works labeled as “biographies” are

historical, often dealing with contemporary subjects, whereas “stories” typically have invented plots (see LIFE WRITING).

Many agree that the most outstanding exemplars of these two genres are the two great works of Bana, the celebrated master of Sanskrit prose *kavya*. Bana was the court poet of Harsha (r. 606–47 CE), king of Kanauj and ruler of most of North India. Harsha was a great patron of the arts as well as a major poet and playwright in his own right. Bana was the author of a massive prose biography of his patron, the *Harshacharita* (Deeds of Harsha), generally regarded as the archetype of the “biography.” (It is not, following Bhamaha’s prescription, narrated by Harsha himself, but Bana does devote a large portion of the work to an autobiographical account of his own early life and his first encounter with Harsha.) The central story concerns Harsha’s accession to the throne after the death of his father and brother. The action is quite limited, and large stretches of the text are given over to extensive descriptions, many of them involving elaborate puns and other figures of speech, as well as long lamentations of Harsha and his family members over their losses. It is a work as much or more concerned with the play of language as with the development of its story, and seems to illustrate very well the emphasis on the “process of expression” praised by Bhattanayaka.

“Biographies” are on the whole far rarer than stories, and most would seem to be deliberately modeled on the *Harshacharita*. Like it, they are often the work of poets praising their own patrons. Notable examples include Vidyachakravartin’s *Gadyakarnamrita*, written in praise of the thirteenth-century Hoysala king Viranarasimha II, and the (twelfth-century) *Vikramankabhyudaya*, written by the Western Chalukya king Somesvara III in praise of his father, Vikramaditya VI.

Bana’s other great prose masterpiece is his *Kadambari*, one of the most celebrated examples of the “story” genre. Far more narrative-driven than the *Harshacharita*, the *Kadambari* is a sprawling romance with an intricate plot involving multiple sets of separated lovers, past births, talking parrots, apparent deaths, and miraculous resurrections. In its literary artistry, it is on a par with the *Harshacharita*, but here given the intricacy and careful development of the story, narrative is necessarily a more prominent concern here than in the former work. While certainly the orientation of the work is more aesthetic than didactic, it still shows more of a balance between narrative and figurative/linguistic concerns than the theorists’ typology might lead one to expect. The same would seem to be true of many of the most celebrated and critically acclaimed examples of the “story,” such as the *Vasavadatta* of Subandhu (one of the most important precedents and models for Bana’s *Kadambari*) and the *Dasakumaracharita* and *Avantisundarikatha* of Dandin (a near contemporary of Bana’s, who seems to have modeled his own prose works on the *Kadambari*). All of these works combine an intense devotion to figuration and the play of language, with careful development of plot and character, and seem to belie any simple opposition between the art literature and narrative as such.

This blurring between the functional categories envisioned by the theorists can likewise be seen in various traditions of religious narrative. Both the Buddhist and Jaina traditions, for example, produced substantial bodies of straightforwardly didactic hagiographic narrative, often deriving ultimately from scriptural sources, but, in both cases, efforts were made by later figures within these traditions to produce more aesthetically ambitious, “poetic” versions of such narratives. Prominent examples include works such as Aryashura’s *Jatakamala*

(fourth century, Garland of the Buddha's Past Lives) and Hemachandra's *Trishash-tishalakupurushacarita* (eleventh century, Deeds of the Sixty-Three Great Persons). Here too we see works that appear to be pursuing aesthetic and didactic aims simultaneously.

Over time, at least in the field of literary prose, there seems to have been a gradual drift toward a more intense focus on plot and character development and away from the elaborate and loving play of language that had been so central to Bana's work. Toward the end of the first millennium, there was a major surge of interest in extended prose narrative, centered mainly in Western and central India, much of it produced by Jaina authors. Prominent examples include the ninth-century Prakrit *Lilavai* of Kouhala (ninth century), the *Tilakamanjari* of Dhanapala (tenth century, Madhyapradesh), and the *Udayasundarikatha* of Sodhdala (eleventh century, Maharashtra). These works are not anthologies or groups of tales embedded in a frame story, like the story collections described above. They develop a single, sustained plot at great length. And, unlike earlier *katha* literature such as Bana's, the telling of a compelling story is plainly their primary objective. Thus they would appear to shift the balance of literary interest away from the "expressive process" and toward the presentation of compelling narrative content.

In addition to this resurgence of art-prose narrative, this period also witnessed the rise of a new genre: the *champu*, or mixed prose/verse composition. The *champu* was known to writers as early as Dandin, but no examples of the genre survive prior to the tenth century, and it appears that it was only after this time that the genre rose to prominence. Some of these, such as Trivikrama's *Nalachampu* (915) and King Bhoja's *Ramayanchampu*, were treatments

of epic themes or other preexisting narratives, but others, such as Somadeva's *Yashastilakampu* (951 CE, Karnataka), set forth original stories, often very intricately plotted. The mixed prose and verse format provided authors with a useful device for balancing the imperatives of narrative development and literary artistry, allowing them to embed the usually more ornate and linguistically playful verses in the more straightforward prose passages.

So one can see that, while the tension between the imperatives of crafting ornate literary language and of creating compelling plot-driven narratives persisted throughout most of the ancient and into the early medieval period in South Asia, there was a gradual shift, at least in prose *kavya*, toward more content-centered and narrative-driven modes of expression, attaining something close to a proto-novelistic form in the great *katha* and *champu* works of the late first and early second millennium.

BIBLIOGRAPHY

- Aryashura (2009), *Garland of the Buddha's Past Lives (Jatakamala)*, trans. J. Meiland.
- Bana (1897), *Harsha-charita*, trans. E.B. Cowell.
- Bana (2009), *Princess Kadambari*, trans. D. Smith.
- Budhasvamin (2005), *Emperor of the Sorcerers (Brihatkathashlokasamgraha)*, trans. J. Mallinson.
- Dandin (2005), *What Ten Young Men Did (Dashakumaracharita)*, trans. I. Onians.
- Goldman, R.P. et al., trans. (1984–), *The Ramayana of Valmiki*.
- Hemachandra (1998), *Lives of the Jain Elders (Trishashtishalakupurushacharita)*, trans. R.C.C. Fynes.
- Krishnamachariar, M. (1937), *History of Classical Sanskrit Literature* (repr. 1970, 1989).
- Lienhard, S. (1984), *History of Classical Poetry*, vol. 3, fasc. 1 of *History of Indian Literature*, ed. J. Gonda.
- Somadeva (2007–), *Ocean of Rivers of Story (Kathasaritsagara)*, trans. J. Mallinson.

- van Buitenen, J.A.B. et al., trans. (1973–), *Mahabharata*.
 Vishnusharman (2006), *Five Discourses on Worldly Wisdom (Panchatantra)*, trans. P. Olivelle.
 Warder, A.K. (1989–), *Indian Kavya Literature*, 2nd ed., 7 vols.

Ancient Narratives of the West

DANIEL L. SELDEN

Between roughly 450 BCE and 1450 CE, readers across the Levant, North Africa, and Europe were united by complex networks of interrelated texts, extant in an uncommon variety of different languages, that contemporary scholars call the Ancient Novel (see DEFINITIONS). A product of the intellectual ferment that Karl Jaspers termed the *Achsenzeit*, the ancient novel flourished as an epiphenomenon within the multiethnic tributary empires of the Mediterranean and Middle East—Iran, Macedonia, Rome, Byzantium, the Caliphates—where it achieved both its greatest artistic complexity and its widest geographical diffusion between the second and twelfth centuries CE. Under Ottoman rule, and in Christian Ethiopia, the form continued to flourish up through the nineteenth century, but with the decline of feudal culture in the West and the advancement of the capitalist world system, such texts all but ceased to circulate in Europe. A small and relatively idiosyncratic selection of this corpus—the four Greek ROMANCES attributed to Xenophon of Ephesus, Achilles Tatius, Longus, and Heliodorus, together with the *Metamorphoses* of Apuleius and the surviving fragments of Petronius’s *Satyrika*—continued to capture the imagination of European writers in the Renaissance and the Baroque, when they played a formative role in the constitution of the modern novel.

Since the rediscovery of Chariton’s *Callirhoe* in the mid-eighteenth century,

moreover, contemporary criticism has for the most part focused on these seven novels, which all date between the first and fourth centuries CE. This predilection, however, has skewed public appreciation of the range of ancient fiction, which not only requires a different point of historical departure, but also more thorough contextualization within the larger parameters of Levantine—Mediterranean culture as a whole.

THE LIFE OF AHIQAR

The earliest extant piece of ancient novelistic prose is the Old Aramaic *Life of Ahiqar*, which survives among the Judaic papyri produced in Egypt under the first Iranian occupation (525–404 BCE). Once the “Two Lands” became coercively incorporated as a tributary holding within the rapidly expanding political economy of the Levantine—Mediterranean world system—consolidated under Iranian hegemony and extended through the tributary empires which followed in its wake—novels with an international horizon began to circulate in Aramaic, Demotic, Greek, Coptic, Arabic, and so on, correlative with shifts in the culture of imperial administration. Thus, the Old Aramaic *Ahiqar*, redacted at the Jewish garrison on Elephantine, and copied over an Achaemenid customs account dated to 475 BCE, assumes as its geographical and historical horizon the compass of the Iranian empire of which Egypt now formed part. In fact, the palimpsest that constitutes the subtext to the Old Aramaic *Ahiqar* records taxes levied on transimperial trade at Memphis in the southwesternmost corner of the Achaemenid domain:

On the 16th of Tybi they inspected for Egypt 1 ship of Somenes, son of Simonides, Ionian. One large ship it is, in accordance with its

measurements. The oil which was found in it is oil, 50 jars. The tribute which was collected from it and made over to the house of the king [*scil.* Xerxes]: gold, 10 staters of gold, 8 sheqels, 15 hallurs; silver, 10 karsh, 2 hallurs, 2 quarters.

Aramaean agents, presumably from *Yehud* (Judaea), impose tariffs here on a Greek merchant transporting oil from the satrapy of *Yauna* (Ionia) to the satrapy of *Mudraya* (Egypt), which they remit, likely by way of the royal treasury at Memphis, to the household of the Great King at Susa in *Uvja* (Elam). Performed by day and month of the *Egyptian* calendar, each entry weighs the tribute according to a mixture of *Greek* and *Akkadian* denominations, thereby macaronically preserving local specificities, at the same time that the *Aramaic* registry suspends them within the totality of the non-homogenized, though clearly hierarchizing, Achaemenid politico-economic space.

The composition that overwrites this ledger projects its geodialectics into historical romance, a fictionalized account of the distinguished Assyrian court scholar *Aba-enlil-dari*, divided into two clearly demarcated parts: an introductory narrative reminiscent of the Joseph cycle in Genesis, followed by an eclectic set of apothegms closely related to such sapiential literature as Proverbs. The tale, set at the court of Esarhaddon (681–669 BCE) in Nineveh, recounts the vicissitudes of Ahiqar, a “wise and skillful scribe,” who not only “became counselor of all Assyria and keeper of [Esarhaddon’s] seal” but also the king ordered that “all the troops of Assur should rely on his decrees.” The powerful but childless Ahiqar grooms his clever nephew Nadin like a son to become his successor, though once appointed to Esarhaddon’s court, Nadin forges documents that impugn Ahiqar of plotting to “subvert the land against the king,” most maliciously false letters enjoining the Shah of Iran and the

Pharaoh of Egypt to converge upon Nineveh under arms, from East and West, respectively. The incriminating epistles adduced, Ahiqar escapes, forfeiting his head only through the beneficence of the executioner who, concealing the sage in a subterranean vault, produces the body of a decapitated slave instead. Nonetheless, Nadin’s political triumph proves shortlived; bereft of Ahiqar’s instructions, Esarhaddon regrets the precipitateness with which he had “the father of all Assyria” dispatched. When Nadin’s treason comes to light, Ahiqar reascends from the pit, whence the king gratefully restores “the master of good counsel” to his rightful office, where his first act is to throw the turncoat Nadin into prison. There Nadin wastes his days away, listening to royal scribes recite the adages that he refused to countenance in his career, in fact the very set of apothegms that follow, seriatim, directly on the tale.

Not only, then, do the Customs Account and the Romance of Ahiqar adumbrate the same geopolitical horizons but also the tax records exemplify the basic sorts of economic transactions upon which the administrative, political, and military organization of the empire that the narrative imagines rests, where the “Assyria” of the tale—by the mid-fifth century BCE—functions principally as a figure for the Iranian regime. That a provincial scribe, stationed at the outposts of the Achaemenid domain, should copy or recompose a tale about the meteoric rise of a fellow Aramaean who becomes not only master of his profession but chief official at the court of Esarhaddon, speaks for itself as fantasmatic aspiration. Above all, however, the Romance of Ahiqar idealizes the potential for mobility—geographic, social, and economic—within the Achaemenid tributary state. Under Esarhaddon, therefore, the scribal calling not only appears as a career open to everyone—unlike Mordecai in the closely related Hebrew Esther—but Ahiqar’s

enemies are not “Amalekites” (i.e., ancestral enemies of Israel). They are kin, Assyrians of all classes, from executioner to king and prove Ahiqar’s greatest champions at court, in effect emphasizing that within the multi-ethnic arena of the empire, foreigners were as often as not friends. So Ahiqar questions in the apothegms: “My own son spied out my house, what shall I say to strangers? He bore false witness against me; who, then, will declare me innocent?” Lest the litigant avail himself too hastily, however, of imperial redress, Ahiqar concomitantly stresses, “A king’s word is gentle, but keener and more cutting than a double-edged sword. His anger is swifter than lightning: look out for yourself!” Here we see the importance of the Sayings to the Romance as a whole: distilling the distinctive plotting of the narrative into a set of ideological propositions that appear to have no history in themselves, they allow the tale to circulate throughout the empire as a parable, ubiquitously valid irrespective of time and place (see IDEOLOGY). Just as the triumph of the protagonist at the court of Esarhaddon vouches for the aptitude of Ahiqar’s adages as “wisdom,” so the apothegms—which retain no more than superficial local references—asymmetrically allow the narrative to exceed its function as a historical account of the *splendeurs et misères* of an Assyrian imperial career.

METAPHYSICS AND THE TRIBUTARY STATE

Edouard Meyer aptly described the *Life of Ahiqar* as the oldest extant book of world literature, internationally diffused among the most disparate tongues and diverse peoples. Over the next two millennia, scribes successively augmented the novel, as they translated the tale, together with its apothegms, into all the major languages

around the Mediterranean and across the Middle East: Demotic (Egyptian), Syriac, Armenian, Georgian, Arabic, Ethiopic, Greek, Serbian, Romanian, Russian, Turkish. What propels this worldwide spread of *Ahiqar*, however, in which no two manuscripts are precisely the same, issues less from the vagaries of literary taste than from devices that are intrinsic to the narrative per se. The Elephantine papyrus uses the ancient motif of the “counselor in the court of the foreign king,” redacted specifically for a displaced community within the multicultural congeries that constituted the Achaemenid state. In addition, *Ahiqar* specifically thematizes the prismatic confrontation that the Iranian empire afforded between the polities of Assur, Egypt, and Yehud, capitalizing in an unprecedented way on a diverse constellation of heretofore locally situated GENRES—Mesopotamian wisdom literature, the Egyptian tomb autobiography, Old Israelite historical narration, the Ionian political anecdote, and so forth. Hence the text not only affords an occasion for the interplay between speech genres peculiar to the heteroglossic Iranian regime (see BAKHTIN) but concomitantly, the novel interweaves culturally heterogeneous literary types drawn specifically from those peoples that figure in the tale. Like the empire which the novel represents, then, the Old Aramaic *Ahiqar* is nothing so much as a site for the cohabitation, condensation, and displacement of ethnically specific genres, whose imbrication propels the reader from one culturally embedded literary formation to the next. The reception history of the narrative, as scribes recast it from one foreign community to another, is thus nothing more than the historical realization of the devices of cultural-linguistic crossing that are already thematized and enacted in the Elephantine papyrus itself.

Most conspicuous is the splice that the novel makes between the imperial intrigue

of the tale and the sapiential counsel of the dicta, which situates *Ahiqar* at the crossroads of what contemporary Greek writers in *Yauna* had already begun to distinguish as *politiká* (politics) over and against *philosophía* (philosophy). If the novel sutures these two realms—the political and the sapiential—it also keeps them categorically distinct, which raises the question of the relationship between them. In the first instance, their collaboration is reciprocal: the Assyrian (or Iranian) court provides the political context which produced the apothegms, while the apothegms reprise the particularities of an Assyro-Iranian imperial career under the apprehension of the universal. Historically, however, it is not difficult to see that these two gestures are isomorphic. Barely a generation before the redaction of the Old Aramaic *Ahiqar*, Darius I had reorganized the inherited tripartite sociopolitical system of the *Ariya* into the two-tiered imperial structure that became the basis for the Levantine—Mediterranean tributary state. At the local level, individual cities, countries, federations, and allied peoples retained their own traditional forms of government, religion, customs, and currency. Without attempting to homogenize them, geographically proximate peoples were then grouped into twenty distinct provinces, so that a single satrapy might include populations as diverse as Thracians, Phrygians, Paphlagonians, Mariandynians, and Syrians. Each of these administrative districts was in turn overseen by a “protector” (i.e., satrap) who reported directly to administrative Iranian nobles and, ultimately, to the “Leader of Leaders,” i.e., to the Great King himself. Tribute—in kind, coin, or manpower—comprised both a complex set of levies, fixed by the central government on an ad hoc basis, as well as gifts determined by the communities themselves. These the local populations collected according to their own

institutions, to bestow them upon the satrap who, in turn, passed on the revenues expected by the king. Other, less regulated forms of duty went to the satrap himself, who might have very different relations with the different communities under his care. None of the surviving evidence suggests that the central Iranian administration returned anything directly to the subject territories as investment for future economic growth. The crown did, however, redistribute revenue throughout the empire to build bridges, maintain passable roads, oversee the mail, regularize measurements and tolls, and secure military protection—all of which facilitated communication between diffuse populations and fostered trans-imperial trade.

Even in the short run—and certainly by 475 BCE—Darius’s administrative reforms enabled a relatively integrated politico-economic system throughout the Levant and Mediterranean East, which nonetheless—as Samir Amin has pointed out—remained predicated on one fundamental contradiction: the local communities that the government supported persisted only through their simultaneous negation by the imperial apparatus of the Iranian state. Darius represents this dialectic concretely in the inscriptions erected at Persepolis that memorialize his reign. On the one hand, golden tablets from the *apadāna*, the audience chamber that dominates the royal terrace, portray his kingdom fantasmatically as an integrated space, vouchsafed to him by the one high Iranian god, radiating symmetrically around his capital and held together by his transroyal power. At the same time, however, stone blocks set into the terrace’s enclosure wall describe this geographic space as filled by an open-ended series of discrete peoples without integral connection or territorial hierarchization:

King Darius declares: This is the realm that I possess, from the Scythians who are beyond

Sogdiana to Kush, from Sind to Sardis—which Ahura Mazdā has bestowed upon me. May he protect my royal home.

King Darius declares: These are the peoples whom I hold, along with the Persian folk—they who have feared me and brought me tribute: the Elamite, the Mede, the Babylonian, the Arab, the Assyrian, the Egyptians, the Armenian, the Cappadocian, the Lydian, the Greeks who are on land and those who are on the sea, and the peoples who are beyond the sea; the Asagartian, the Parthian, the Drangianian, the Arian, the Bactrian, the Sogdian, the Chorsamian, the Sattagydian, the Arachosian, the Indian, the Gandharian, the Scythians, the Makians.

Darius's imperium, then, sustained itself through two mutually contradictory political impulses: on the one hand, a unified state within whose boundaries all local particularities were resolved into a homogeneous imperial space; on the other, an eclectic agglomeration of alien communities, which persisted as irregular, arbitrary, and potentially refractory components of an always as yet untotaled tributary system.

The same years that saw the consolidation of the Levantine—Mediterranean tributary state concomitantly witnessed the “axial breakthrough” not only of Iranian Mazdaism, which drew a categorical distinction between the visible-material world (*gētīg*) and the realm of the invisible-conceptual (*mēnōg*), but also of Ionian philosophy which, in the western provinces of Darius's empire, promoted an unprecedented “straining toward the transcendental.” At this time, city-states such as Miletus (the home of Thales, Anaximander, Anaximenes, and, probably, Leucippus) and Ephesus (where Heraclitus and his students worked) constituted part of the Iranian satrapy of *Yaunā*, and hence paid regular tribute to the Great King. So did Samos, Pythagoras's birthplace, where he spent his

formative years before migrating to Croton in Magna Graecia. Particularly important for the diffusion of Ionian ideas, moreover, was Anaxagoras of Clazomenae—another Iranian dependency—who came with Xerxes's army to Athens in 480 BCE, where over the next thirty years he not only became the teacher and friend of Pericles, but so impressed his character on the whole course of future philosophical investigation in the city that fourth-century writers looked back on him as the very type of the theoretic man. Contemporaries whom he may have met there include Protagoras and Democritus, both of Abdera, a city-state then part of Iranian *Skudra*, as well as Diogenes of Phrygian Apollonia, a town likewise administered as part of the province that Darius refers to as “Those who are beside the sea.” Like Thales and Democritus, Plato was held to have studied during his formative years in the Iranian satrapy of Egypt, while Aristotle, after leaving the Academy, spent his first period of independence working in the former Iranian tributary states of Lesbos and Macedon.

It should come as no surprise, then, that “Greek” philosophy, particularly as consolidated from Thales through Plato and Aristotle, should have an integral connection with the political economy of the Achaemenid state. All such epistemological questions such as the integration of perceptual diversity into concepts and categories of the mind; the search for the essence of diverse phenomena within a single overriding principle or *arkhē* (origin/sovereignty); the relationship of particular to universal, accident to essence, part to whole; the transcendental attempt to bridge the gap between the manifold of things and the One that allows for their existence—all such topics, whatever place they occupy in the internal evolution of Hellenic thought, have also to be understood as so many attempts to theorize the peculiar structural characteristics of the

tributary mode of production, in particular the anomalous fit between individual, community, satrapy, and empire in its simultaneous affirmation and negation of dependent polities.

In his Christian synthesis of the Platonic—Aristotelian tradition, Pseudo-Dionysius the Areopagite, writing under Roman tributary rule, makes this connection particularly clear:

[God] brings everything together into unity without confusion, into an undivided communion, where each thing continues to exhibit its own specific form and is in no way adulterated through association with its opposite, nor is anything of the unifying precision and purity dulled. Let us therefore contemplate the one and simple nature of that peaceful unity which joins all things to itself and to each other, preserving them in their distinctiveness and yet linking them together in a universal and unconfused alliance.

One has only to replace “God” here with Shah of Iran or Emperor of Rome to see that whatever its philosophical pretensions, the passage is also an idealized description of the relationship between the ruler and the non-homogenized agglomeration of the tributary state in which every subject people contributed diversely to the imperium at large without abrogating the particularities of local practice.

Moreover, it is no coincidence that Dionysius’s vision of unity in distinction also provides a generalized description of the generic play internal to the Old Aramaic *Ahiqar*, in which each indigenous literary type contributes complementarily to the novel as a whole without thereby obliterating the particularities of scribal practice that continued to thrive locally in Assur, Egypt, and Yehud. There is thus a fundamental complicity between the politico-economic structure of the Iranian empire;

Mazdean—Ionian philosophy; and the new novels that began to circulate within the borders of Darius’s empire shortly after his reforms, of which *Ahiqar* is but the earliest extant example. In fact, it would not be too much to say that under the Achaemenid Empire and its successors, the Levantine—Mediterranean tributary state produced as its dominant ideology what Aristotle called “metaphysics” and, as its chief form of literary expression, the ancient novel.

THE ALEXANDER ROMANCE

Historically, the Achaemenid Empire was the first of a series of successive Levantine—Mediterranean tributary states, all of which not only covered roughly the same ground, portions thereof, or territorial expansions but each also adapted Darius’s politico-economic model to changing historical circumstances and provided the limits within which Hellenistic metaphysics—be it in pagan, Jewish, Christian, Mazdean, or Islamic guise—continued to flourish. Macedon, Rome, Parthia, Byzantium, the Caliphates—these were the tributary states which produced the great novels of Antiquity and within whose borders they circulated across linguistic lines from one subject community to another. Alongside *Ahiqar*, the most prominent of these works include the Enochic corpus, *Barlaam and Joasaph*, the *Life of Aesop*, *Kalīlah wa-Dimnah*, *Joseph and Aseneth*, the *Acts of Peter*, the *Seven Wise Masters*, *Apollonius of Tyre*, and the *Life of Pachomius*. If we look, however, for the most popular and widespread work of this period—the “supreme fiction,” as it were, of the Levantine—Mediterranean tributary state and its attendant ideology of metaphysics—this is undoubtedly the *Alexander Romance*, which Ken Dowden accurately singles out as “antiquity’s most successful novel,” a work that survives in several dozen languages and

over eighty different versions, none of which can claim to be original or definitive in form (in Reardon 1989, 650). Its overtly patchwork makeup and continuous (re)composition, in poetry as well as prose, is attested from the third century BCE through the eighteenth century CE, across a geographical expanse that ranges from Afghanistan to Spain and Ethiopia to Iceland—i.e., the extended temporal and geographical coordinates of the Levantine—Mediterranean tributary states.

The *Romance* was the single most popular narrative for roughly a millennium and a half, constituting in effect a protean network of interrelated texts disseminated over massive tracts of Asia, Africa, and Europe. Furthermore, alone among fictions of the period, it was of sufficient stature to figure in all the major sacred texts that Christians, Muslims, Zoroastrians, and Jews produced during this era. Significantly, it is not the *historical* Alexander that has entered these holy accounts but the Alexander of the *romance*, and accordingly there are not only pagan, but also Christian, Mazdean, Judaic, and Islamic versions of the tale. Whereas the historical treatments of Alexander's life give us the facts of the man's military career, the *Romance* attempts to capture the overall significance of Alexander's deeds for the tributary epoch, not the "accidents" of history, as it were, but rather their "essence"—what Aristotle called "the what-it-meant-to-be" Alexander.

Nor is the correspondence between the dissemination of the *Alexander Romance* and the temporal-geographic coordinates of the Levantine—Mediterranean tributary states coincidental. In fact, the *Romance* takes its point of departure from the same nexus of sapiential and political concerns that already preoccupied *Ahiqar*: Philip II of Macedon famously engaged Aristotle to tutor his son, Alexander, and in the *Romance* the philosopher generally figures either as a character or as Alexander's correspondent

in the plot. Moreover, what sparks Alexander's campaign in the *Romance* is his refusal to pay tribute to the king of Iran, in order to embark instead on forming a Macedonian tributary empire in Iran's wake. Historically, Alexander's Iranian antagonist was Darius III, but collective memory has matched him with a more formidable opponent, the epochal imperial reformer Darius I. So the Serbian redaction of the *Romance* opens playing fast and loose with chronology and lineage to locate Alexander less within the domain of historical exactitude, than within the register of cultural truth:

It came to pass when Tarquin the Great ruled Rome and the priest and prophet Jeremiah reigned in Hebraic majesty among the Israelite people; when Darius, the son of Cyrus, ruled over the Lands of the East, when Porus governed India, and Nectanebo ruled Egypt, a sorcerer and king, then Philip, who was a heathen and a Greek, ruled the land of Phrygia and the Macedonian earth and the Greek islands: at that time, a son was borne to him, and they named him Alexander.

In kindred spirit, the Persian *Iskandarnāma* claims Aristotle for the author of its composition, which by implication makes the *Romance* one of the Greek metaphysician's authentic philosophic works. Under Aristotle's tutelage, moreover, Alexander swiftly becomes the tributary potentate *par excellence*, who in short order reduces to dependency not only Europe, Africa, India, and the Middle East but, in some versions, Russia and China too. Thus the γ -recension of the Greek text states: "All nations became his servants and paid him tribute. Not one of them resisted, for they all feared him. He crossed all the land beneath the sun; no habitable portion remained thereover."

Most importantly, Alexander proves a shrewd tributary administrator, who fosters

the independent welfare of his subject peoples, allowing each its own customs and traditions while homogenizing none. The Syriac *History of Alexander* makes this point explicitly: “Nation shall not be mingled with nation nor shall one man go from his own land to another except those who travel for the sake of merchandise, and even of these not more than ten or twenty shall be allowed to go. . . . For we desire that prosperity and abundance should be in your land.” The Armenian *History of the Great World Conqueror* stresses, in particular, that what ultimately proves the key to Alexander’s imperial success is the beneficence he shows to the diverse populations he subjects: “Alexander, you have maintained your power by doing kindness to your friends. For not by war alone have you subdued the world and its people, but by great wisdom.”

Candace, the queen of Meroë, who delivers this eulogy, knows whereof she speaks. The Alexander portrayed in the Romances is less a power-hungry potentate than a sincere questor after philosophic truth. In good Peripatetic tradition, then, Alexander is curious about everything he comes across, not only on but also above and beneath the earth. Thus, in the prose redaction of the Syriac *mēmra* attributed to Jacob of Serugh, Alexander gives the following motivations for embarking on his worldwide expedition:

This thought has arisen in my mind: I am wondering what is the extent of the earth, how high are the heavens, how many are the countries of my fellow kings, and upon what the heavens are fixed; whether thick clouds and winds support them, whether pillars of fire rise up from the interior of the earth and bear the heavens so that they do not move for anything at all, or whether they depend on the beck of God. This now is what I desire to go and see: upon what the heavens rest, and what surrounds all creation.

Not only does Alexander prove an avid teratologist who assiduously records the animal, vegetal, and mineral prodigies that he encounters along the way but in the so-called “fabulous adventures,” he constructs a bell-jar in which he plumbs the ocean’s depths, chains to his chariot griffons who fly him through the heavens, and marches his troops across the Lands of Total Darkness: “Our friends,” he confesses in the β -recension of the Greek text, “repeatedly urged us to turn back, but I was reluctant, because I wanted to see the limit of the earth.” Moreover, in his quest for consummate knowledge, the Latin Alexander exchanges letters across the Ganges with the naked Brahmans, who admonish him to abandon his heathen ways and “serve the one God, who alone reigns in heaven.” Not only in Christian, Judaic, and Islamic versions of the text does Alexander emerge as a monotheist but also in recensions that are pagan. Most Levantine versions of the *Romance* relate Alexander’s long travails searching for Waters of Life, while in the Syriac *History* he is actually allowed “to come within and see the Maker of all natures.”

Alexander’s peregrinations around the world, then, are not simply a politico-economic venture but simultaneously an unending metaphysical search, as if the two were superimposed one atop the other and the novel were the site that revealed the complicity between the two. It is thus possible to see how the *Romance* complicates the earlier *Ahiqar* and also why this fiction above all others came to constitute the greatest literary expression of the Levantine—Mediterranean tributary era. On the one hand, the *Romance* presents an idealized vision of empire, in which all the diverse communities of the inhabited world come to coexist side by side in “a peaceful unity,” as Pseudo-Dionysius puts it, “which joins all [peoples] to itself and to each other, preserving them in their distinctiveness and yet

linking them together in a universal and unconfused alliance.” On the other, this pacific sociopolitical order turns out to be productive of the farthest-reaching metaphysical science, in effect bridging the chasm between the transcendental and the mundane that had opened up historically with the advent of the axial age.

We see here, then, the importance of the fact that the hero of the novel is a historical figure, anchored in the real, and not simply a fictional creation. To this end, the Greek *Life of Alexander the Macedonian* opens with an oracle that “the mighty and valorous king, who has fled Egypt in old age, shall return at some future time a youth, having circled the world, in order to bestow upon us the subordination of our enemies.” In this version of the *Romance*, Alexander is the mongrel offspring of Nectanebo, the last native king of Egypt, and Olympias, the Queen of Macedon, conjoining the Egyptian and the Greek. Simultaneously, as the prophetic once and future king, he stands both as the guarantee that such a world had been realized in the past and as a promise that—for this very reason—it remains continuously open to the future. Hence the utopian dimension of the novel, which offers readers the vision of a differentiated world pacified and united where each community finds its proper place within the whole—though not without internal tension—as part of an ideal tributary order that is always henceforward yet to be achieved. Alexander dies young, his empire still in the process of consolidation, but his legacy to the world is hope.

CHARITON, *CALLIRHOE*

Virgil’s *Aeneid* may have bequeathed to Medieval and Modern Europe its basic myth for the westering of culture, but it did so only at the expense of the imperial East, which it either represents as always already in ruins

(Troy), or rejects as a site of luxuriance and moral decay (Carthage). By contrast, the irrepressible *Romance* succeeded in uniting readers across the better part of the Eurasian and North African land mass for over a millennium and a half: this is the ancient narrative—and not Gilgamesh, *Leylī o Majnūn*, or the *Ramayana*—that Mongols, Ethiopians, and Scots all read and which fired their collective imagination. In keeping with the spirit of the tale, each community or nation harbored its own version of the narrative that, despite all local particularities, still participated in the ecumenical literary venture as a whole.

Scriptural systems of this magnitude constitute discrete—if ultimately also overlapping—“text networks,” autopoietic bodies of related compositions whose origins largely escape us and whose evolution in the Late Antique still remained far from complete. Within such self-organizing fields, however, neither origin nor terminus was much at issue. In fact, what most typified the scriptural networks of the Levantine—Mediterranean tributary period was not their stability but rather their set toward proliferation, where entropy increased in the course of each new (re)inscription. With no Ur-text and lacking any definitive redaction, text networks such as the *Romance* remained fundamentally decentered, which makes it virtually impossible to chart with any certainty either their historical development or their full global diffusion. Faced, moreover, with contradictory renditions, each member of the text network figured by way of similarity to and difference from the other works that concomitantly comprised the field—in effect, a transtextual projection of Ferdinand de Saussure’s synchronic notion of linguistic “value” (see LINGUISTICS).

The text network constituted the most common type of diffusional patterning for the ancient novel. It is against the backdrop of the multiple, therefore, that we need to

understand such singular and largely uniform works as the five “ideal” Greek romances (Chariton, Xenophon of Ephesus, Achilles Tatius, Longus, Heliodorus), as well as Petronius’s *Satyrika* and Apuleius’s *Metamorphoses*, all of which originated under Roman imperial rule. Fundamentally, the one mode of composition constitutes the dialectical negation of the other. Thus, whereas the Latin *Res gestae Alexandri Macedonis* opens with the anonymous *feruntur* (“they say”), and circulated without attribution, *Callirhoe* (first century CE) begins with a signature, naming the author of the novel and foregrounding the act of his narration: “My name is Chariton, of Aphrodisias, and I am clerk to the attorney Athenagoras. I am going to tell you the story of a love affair that took place in Syracuse.”

Chariton Aphrodisius, a writer nowhere else attested, may well be a pseudonym—the name evokes the Graces, as well as Aphrodite—a narrative device to credit the novel’s composition to a supposititious individual, whose credentials it therefore becomes necessary to provide. In contradistinction to the *Romance*, moreover, Chariton asserts both the unity of the *pathos erōtikon* (novel’s action), along with its ostensible unity of place (Syracuse). The work survives in a single manuscript, and—while there is ample testimony that later Hellenic novelists read *Callirhoe*—there is no evidence that it circulated in any language other than Greek. This singularity, then, evident at so many levels of the composition, effectively functions as a dialectical inversion of the text network where, in its multiformity, even such well-known authors as Nezami or Alexandre de Bernay, contemporaries who composed poetical accounts of the Great Conqueror in Transcaucasia and Normandy, respectively, situated their work within the broader spectrum of the Alexander literary traditions.

Negation likewise determines both character and plot in *Callirhoe*, which—as opposed to the explicitly public parameters of *Ahiqar*, *Barlaam and Joasaph*, or *Kalilah wa-Dimnah* (“Kalilah and Dimnah”)—narrows its focus to a private love affair between two otherwise unknown Syracusans. In effect, the Ionian Chariton, writing from the Roman province of Asia, chooses as his subject the erotic interests of two Dorians from the West, thereby notionally encompassing the entirety of the “panhellenic” world. The very constriction of this focus served, among other things, to interpellate Greek literati as a distinct community of readers over and against other ethnically diverse, transimperial audiences for the novel, doing so in part through the narrative’s pointed promotion of Greek language, identity, and values. Not for nothing then, Chariton’s novel appeals directly to classical Greek history, taking as its principal referent Hermocrates of Syracuse, the Greek commander who famously repelled the Athenian attack on Sicily in 415–413 BCE. Set against Hermocrates’s efforts to safeguard Syracusan patrial *dēmokratía* (“democracy”) from foreign assault, his daughter Callirhoe’s adventures rupture the insularity of this narrative FRAME: married to the first stranger upon whom she literally stumbles, abducted by pirates, and hounded by would-be lovers, Callirhoe’s protracted peregrinations initially traverse the Greek world—from Syracuse to Athens to Miletus—only to press inwards from Ionia through the western satrapies of Iran: from Caria and Cilicia south across the Taurus, and down through Assyria to Babylon, capital of Artaxerxes, King of Kings. Acclaimed in the great audience hall the most stunning woman in all Europe and the East, Callirhoe subsequently returns full circle, this time by way of Syria and Cyprus back to Syracuse, her home. The charmed haven of democratic *Graecitas* thus opens

for a moment onto the spectacle of the imperial Other, but closes itself off again as the heroine returns—her “faithfulness” intact—to Magna Graecia. Accordingly the happy ending, in which the entire citizen collective (*dēmos*) throngs the Syracusan assembly to weep for joy at Callirhoe’s restitution, is one from which non-Hellenic readers of Greek, who filled the Eastern Empire, can only have been all too conscious that they stood excluded.

Like *Ahiqar*, then, *Callirhoe* overlays one geography upon another: whereas Chariton’s post-Herodotean world of the fifth century BCE sets Greece over against Persia as two antithetical political spheres, the ambit that Callirhoe’s journey traces circumscribes the heartland of the Levantine—Mediterranean tributary state as it had expanded under Roman rule of the first century CE. For Chariton, however, empire has ceased to constitute a space of “peaceful unity which joins all peoples to itself and to each other,” but appears rather as an inexhaustible source of radical displacement and paradoxical conjuncture, where only by exception does the “orphan pearl” pass smoothly from hand to hand: “One township escorted Callirhoe to the next, one satrap gave her into the care of his neighbor, for beauty carried all subjects away.” Chariton, however, harbors no illusions about what he describes as the “sullen spectacle” of tributary empire, so the next sentence adds: “It was on the expectation that this woman would wield great authority that each hastened to offer her alien hospitalities.” Unexpectedly, then, though hardly by chance, Egypt erupts into violence in the final installment of the novel:

Events now took a different turn. The Egyptians, Artaxerxes learned, had murdered the royal satrap and invested a king from among the locals. He had marched out from Memphis

and passed through Pelusium and was already overwhelming Syria and Phoenicia, to the point where their cities were offering no more resistance; it was as though a torrent or a fire had suddenly assailed them.

Mindful of Thermopylae, Greek mercenaries make common cause with Egypt against Persian domination, though despite stunning victories at Tyre and Aradus, their combined numbers ultimately prove insufficient in the face of the Iranians’ overwhelming forces: when the vanquished Pharaoh chooses death over captivity, Artaxerxes’s troops immediately move in to crush the provincial insurrection and efficiently reestablish politico-economic order.

Significantly, the sanctions that the Great King imposes suggest no notable duress: so far as possible, Egyptians, Phoenicians, and Cypriots resettle where they will, while Callirhoe cordially enjoins the Persian queen to correspond with her across the Levantine—Mediterranean domain, now shared—as in Chariton’s own day—between Rome and Iran. Alone among the Roman provinces, however, Egypt stands conspicuously absent from the harmony that tunes the novel’s close. Rather, “cut off from the whole,” her political dissatisfactions remain unnamed as well as unaddressed—an oversight which, in this case, realistically reflects Egypt’s abiding history of resistance to all political subordination within the Levantine—Mediterranean tributary order. The closure of the Greek story, then, stands in marked contrast to the irresolution of the Egyptian subplot, whose imperial subjects Chariton represents as disaffected, recalcitrant, and effectively shut out from the societal renewal with which the drama closes.

On the one hand, then, Chariton’s *Callirhoe* unfolds within precisely the same geopolitical coordinates as *Ahiqar* and the

Romance: the multiethnic compass of the Levantine—Mediterranean tributary state. Moreover, knowledge and truth transpire here by way of passage across this imperial domain and through the awful Other: “Here the goddess brought the truth to light and revealed the unknown to each other.” In contrast, however, to text networks such as *Ahiqar* or the *Romance*, *Callirhoe* overtly resists the notion that, as Saadi of Shiraz (ca. 1213–91) famously asserted, “mankind are like members of one body,” staking out instead a more isolationist position. All peoples may stand “mutually enchain- ed,” but the one point at which Greeks, Persians, Phoenicians, and Egyptians actually come together in *Callirhoe*—at the sack of Tyre—is the moment of greatest violence in the novel. Accordingly, Chariton retreats into an ethnocentrism that appears regressive, though it would be a mistake to see *Callirhoe* as anachronistic. Rather, what Chariton stresses is the particular over and against the universal, and in this we see how *Callirhoe* finds its place within the same nexus of geohistorical concerns as do the novels of the text networks: in both it is a question of how the part relates to the whole. Whereas text networks such as *Ahiqar* or the *Romance* incline primarily—to quote Plotinus—toward “the one principal constituting the unity of many forms of life and enclosing the several members within the unity,” Chariton stresses that “each several member must have its own task, . . . each its own moment, bringing its touch of sweet or bitter.” By its very constitution, then, the Levantine—Mediterranean tributary state gave rise to both perspectives which, as mutually negating, not only require one another but together realistically represent the historical tensions endemic to the political economy of the Levantine—Mediterranean tributary system.

THE ANCIENT NOVEL DISAPPEARS

Ancient narratives had a precise historical function that resists incorporation into any homogenizing HISTORY OF THE NOVEL. As the characteristic fiction of the Levantine—Mediterranean tributary state—stretching from the Iranian empire through Rome to the Ottoman regime—the ancient novel aided readers in negotiating the political, economic, and ethnological complexities of the tributary regime, in particular its peculiar dialectic between the persistence of local communities under government protection, and their concomitant negation by the apparatus of the state. Text networks on the scale of the *Romance* united readers across Eurasia without homogenizing them in a utopian vision of the world, while novels such as *Callirhoe* foregrounded communal difference and competing claims for ethnic superiority within the arena of empire. Some narratives—*Esther*, for example—thematize the risks run by ethnic enclaves within the tributary state; others, such as Apuleius’s *Metamorphoses* (second century CE) or Heliodorus’s *Aethiopica* (fourth century), explore conversion and marriage as tropes for crossing from one community to another, or for conjoining them. A minority remain unremittingly jingoistic. In Rumi (ca. 1207–73) we read not only that “cohesion is a mercy, and isolation a torment,” but also that “the best place is where one is at home.” With the supersession of this dialectic, the ancient novel inevitably became obsolete. In works such as Ibn Tufayl’s *Hayy ibn Yaqzan* (ca. 1180) one witnesses the birth of a different humanism, based on an individuality that is entirely self-organized and independent of any community or state, prefiguring, in this regard, both René Descartes (1596–1650) and the “transcendental homelessness” that Georg LUKÁCS saw as the principal defining feature

of the modern novel. Correlatively *Le divisa-ment dou monde* (ca. 1300, *Description of the World*), credited to Marco Polo, provided the Mediterranean with a new mapping of the world which is no longer conceptualized as reticulatively communal, but rather as a series of discrete and largely independent loci, defined less by their tributary relationship to imperial power than as a series of potential markets waiting for the exploitation of motivated merchants.

Balascian is a province where the people worship Maomet and have their own language. It is a great kingdom and the succession is hereditary. Their line is descended from Alexander and the daughter of king Darius, the Persian sire. The kings all still call themselves *Çulcarnein* in Saracen, their language (which is Alexander in French) out of their love for Alexander the Great. This province produces precious stones which they call *balasci*. They are very beautiful and of great value, and come from the rocks of the mountains, from which they are excavated. There are other mountains where lapis lazuli is found, which is the best and finest in the world, as well as mountains in which there are great veins of silver.

Not only has the life of Alexander been reduced here to a piece of local trivia but Polo simultaneously displaces the Peripatetic drive for knowledge of the natural world onto a reckoning of stones and metals: *balasci*, lapis lazuli, silver—all there, ready and waiting to be mined, bartered, and committed to the trader's hand. With the rise of merchant capitalism and the modern nation-state, the ancient novel disappears. When European writers from Miguel de Cervantes Saavedra to Madame de Lafayette and Samuel Richardson, returned to ancient fictional devices as a foundation for the modern novel, they appealed almost exclusively to the Greek and Latin corpus, but they no longer understood what such narratives had meant.

SEE ALSO: Ancient Narratives of China, Ancient Narratives of South Asia, Intertextuality.

BIBLIOGRAPHY

- Bowersock, G. (1997), *Fiction as History*.
 Braun, M. (1938), *History of Romance in Graeco-Oriental Fiction*.
 Doody, M. (1996), *True Story of the Novel*.
 Hägg, T. (1983), *Novel in the Ancient World*.
 Harrison, S.J. (1999), *Oxford Readings in the Roman Novel*.
 Heiserman, A. (1977), *Novel Before the Novel*.
 Holzberg, N. (1995), *Ancient Novel*.
 Konstan, D. (1994), *Sexual Symmetry*.
 Morgan, J.R. (1994), *Greek Fiction*.
 Panayotakis, S., M. Zimmerman, and W.H. Keulen, eds. (2003), *Ancient Novel and Beyond*.
 Perry, B. (1967), *Ancient Romances*.
 Reardon, B., ed. (1989), *Collected Ancient Greek Novels*.
 Reardon, B.P. (1991), *Form of Greek Romance*.
 Schmeling, G. (2003), *Novel in the Ancient World*, rev. ed.
 Stephens, S., and J. Winkler, eds. (1995), *Ancient Greek Novels*.
 Stoneman, R. (2007), *Alexander the Great*.
 Swain, S. (1999), *Oxford Readings in the Greek Novel*.
 Tatum, J. (1993), *Search for the Ancient Novel*.
 Thomas, C. (2003), *Acts of Peter, Gospel Literature, and the Ancient Novel*.
 Whimmarsh, T., ed. (2008), *Cambridge Companion to the Greek and Roman Novel*.
 Wills, L. (1995), *Jewish Novel in the Ancient World*.

Ancient Novel *see* Epic, Japan

Andes

CHRYSITIAN ZEGARRA

No comprehensive history of the Andean novel, or of any Andean nation, has ever been attempted. There are, however, some important commonalities in the novels of

Bolivia, Ecuador, and Peru. The lion's share of novelists of the region has favored REALISM even when exploring experimental literary forms. The Andean novel has also been significantly, although not exclusively, informed by efforts to explore the cultural, historical, and political dilemmas associated with the indigenous world, including the violence and exploitation that indigenous peoples have suffered at the hands of landed oligarchs, mining interests, clergy, corrupt government officials, terrorists, and military men. In the second half of the twentieth century the Andean novel was profoundly informed by demographic changes which took place when many indigenous populations migrated from rural to urban settings. More recently, novelists have explored the effects of globalization, neoliberalism, and new technologies. It is therefore possible to identify some commonalities and continuities in the novel of the Andean region from its earliest expressions in the nineteenth century until the present, with novels such as Edmundo Paz Soldán's *El delirio de Turing* (2004, *Turing's Delirium*), which addresses the dilemmas of a miner's son in the age of cyberspace and globalization, while shedding light on the political and cultural context in which Evo Morales (1959–) emerged as the first indigenous president of Bolivia and as an enemy of neoliberalism. In a similar vein Daniel Alarcón's *Lost City Radio* (2007), a Peruvian novel written in English, obliquely addresses the residual effects of a period of political violence associated with the dirty war that engaged the Shining Path movement and the Peruvian armed forces (1992–2000). The "radio" in the novel's title is the hinge that connects the indigenous peoples of the Andes with urban populations, both of whom are dealing with the effects of terror, grief, and trauma.

The first Andean novel of significance is arguably *El Padre Horán* (1848, Father

Horan) by Narciso Aréstegui. The Peruvian novelist Clorinda Matto de Turner unearthed it from the archives of the local newspaper in which it had been published in installments. She was looking for literary antecedents to her own attempts to promote the NATIONAL novel in Peru, and to those of other late nineteenth-century Peruvian novelists such as Mercedes Cabello de Carbonera, author of *El conspirador* (1892, *The Conspirator*), one of the earliest novels about a Latin American dictator (see DICTATORSHIP). Matto de Turner was correct in claiming Aréstegui as a Peruvian novelist. But he could also be claimed as a precursor to the Bolivian novel or to the Andean novel at large. His novel is set in the border region between contemporary Peru and Bolivia, at a historical moment when Peru and Bolivia could have merged into a single nation. Indeed, from 1836 until 1839 the two nations were a confederation under a common head of state. In his novel Aréstegui depicts both Quechua and Aymara speakers. In Peru and Ecuador the indigenous language that predominates is Quechua, in several variants, all of which differ considerably from Aymara, whose speakers are based primarily in Bolivia. *El Padre Horán* is a novel about a priest who uses his position in the church to take sexual and economic advantage of indigenous peoples and the wives and daughters of the well-to-do.

Inasmuch as Aréstegui's novel is at least partially concerned with the corruption of powerful individuals and the exploitation of indigenous peoples, it is also an antecedent to many other Andean novels which would follow. For reasons that are both political and literary, critics such as Ismael Márquez have argued that the study of the Andean novel must pay special attention to the "crucial effect that native Indian populations, history, and cultures have had on the genre" (142). Márquez continues in a long

line of literary critics of Andean literature for whom *indigenismo* is a fundamental concept. The term *indigenismo* (and its related adjective *indigenista*) was coined as a literary category by José Carlos Mariátegui in his seminal book *Siete ensayos de interpretación de la realidad peruana* (1928, *Seven Interpretive Essays on Peruvian Reality*). Mariátegui identified the principal historical problem of Peru as the usurpation of indigenous lands by the Spanish colonizers and their descendants. He envisaged a Peruvian future in which the indigenous peoples would regain the collective ownership of their ancestral lands in ways that would coincide with the aspirations of twentieth-century socialism. For Mariátegui, *indigenista* novels are the work of nonindigenous individuals committed to exploring the realities of the indigenous peoples, with the expectation that the novel would play a role in the historical process that would empower indigenous peoples and redress the injustices committed against them. Anticipating notions such as Edward Said's "orientalism," Mariátegui deplors the kind of novel he calls *indianista*, which romanticizes or dehistoricizes indigenous peoples.

It was Mariátegui's hope that *indigenismo* would be understood one day as a necessary step towards a literature he called *indígena*, anticipating the moment when indigenous peoples would write directly about their own reality. Mariátegui's influential views continue to inform the approaches to the Andean novel by Peruvian, Bolivian, and Ecuadorian literary critics. They also have had both an immediate and a lasting impact on the history of the Peruvian novel. Several writers, including César Vallejo in his *Tungsteno* (1931, *Tungsten*) and José María Arguedas in *Todas las sangres* (1970, *All the Bloods*), wrote novels which took Mariátegui's ideas to heart as they anticipated a socialist revolution in Peru.

Mariátegui's concepts were used to look to the future as well as back on the literary past of Peru, Ecuador, and Bolivia. They have been used widely to analyze Matto de Turner's *Aves sin nido* (1889, *Birds Without a Nest*), a novel about the failed attempt by some enlightened Peruvians to better the lot of indigenous peoples who are abused by priests, judges, and the corrupt rulers of small Andean towns. The other major nineteenth-century Andean novel is *Cumandá o un drama entre salvajes* (1879, *Cumanda*) by the Ecuadorian Juan León Mera. The novel imagines the situation of the indigenous peoples as the Spanish colonial period comes to an end.

According to Antonio Cornejo Polar, the predominant characteristic of the *indigenista* novel is its cultural heterogeneity. Cornejo Polar explores the political implications of the fact that novels about the indigenous world are all written in Spanish, even though many of the characters are monolingual Quechua or Aymara speakers. Additionally, he points out that the novelistic GENRE itself is Western rather than indigenous. For Cornejo Polar it is important to keep in mind that *indigenista* novels are generally produced in an urban setting for an urban public, even though they depict situations that occur in the rural world. Thus the heterogeneity of the *indigenista* novel is the product of a conflicted and divided Andean world.

In the first half of the twentieth century the most representative novels of Bolivia, Ecuador, and Peru are all *indigenista*. These include *Raza de bronce* (1919, *Race of Bronze*) by the Bolivian Alcides Arguedas, *Huasipungo* (1934, *The Villagers*) by the Ecuadorian Jorge Icaza, and *El mundo es ancho y ajeno* (1941, *Broad and Alien is the World*) by the Peruvian Ciro Alegría. Alegría's novel narrates the struggle of the villagers of Rumi, a community located in the northern highlands of Peru, against the

abuses of landowners linked to export interests bent on usurping communal lands. After his death Rosendo Maqui, the peaceful, wise, and conciliatory communal leader, is replaced by the more energetic Benito Castro, a *mestizo* who has had contact with the urban world and who is more aggressive about the rights of his community. Castro fails in his attempt to restore a sense of unity to his community, which has disappeared, but the novel constitutes a powerful political indictment of the humiliating condition of indigenous populations.

Huasipungo, the masterwork of Ecuadorian *indigenismo*, is based on the brutal exploitation of the indigenous peoples who are trying to hold on to their *huasipungos*, plots of land allotted in a sharecropping system. In the novel the indigenous people face relentless abuse, especially when they attempt to defend their rights. The abuse increases when foreign companies collude with their local associates to usurp indigenous lands and the indigenous labor force to create a road that would facilitate the exportation of Ecuador's natural resources. The novel is informed by the disputes between powerful landowners, based in the highlands, in conflict with national interests, based in the coastal regions of the nation, which are associated with international capital. The Bolivian novelist Alcides Arguedas was despondent about the fate of the indigenous peoples, and in his essay "Pueblo enfermo" (1909, "Sick Nation") he expresses the view that only the rapid modernization of his nation can save his country from its misery. His novel *Raza de bronce* is informed by this same paternalistic view of the indigenous people he ultimately considers an inferior race in need of protection. In the novel the sexual violation and murder of its pregnant indigenous heroine becomes an allegory of the treatment of an indigenous people in need of paternalistic protection from abu-

sive landowners who quash their aspirations for a better life. Arguedas's views on modernization are consistent with those of the Bolivian export mining elite, in competition with the landowning oligarchy for indigenous labor. Even though *indigenismo* was the dominant genre in the first half of the twentieth century, there were some important novelists who explored experimental modernist approaches, such as Pablo Palacios from Ecuador and Martín Adán from Peru.

In 1958, Peruvian writer and anthropologist José María Arguedas published *Los ríos profundos* (*Deep Rivers*), a high point of Andean literature. Ernesto, the novel's protagonist, grows up in the care of indigenous peasants but is removed from them and taken to a boarding school. There he is treated by his schoolmates with the same racism they, and the local authorities, direct to indigenous people. However, at the same time the local indigenous people are wary of his Western status. In his solitude, he takes refuge and solace in the music and the spiritual universe of the indigenous people. He shares their magical connections to nature and sympathizes with their struggle for justice. Ángel Rama considers *Los ríos profundos* to be a major novel and a vantage point from which to approach Latin American narrative, as it captures what he calls "transculturation," the cultural and political interactions, tensions, and conflicts between dominant and subaltern cultures in Latin America. Arguedas was troubled by the migration of the indigenous populations from the rural to the urban world because he feared the loss of their ancestral connections to a culture germane to the Andean region. He expressed his pessimistic outlook about this process in the significant novel, *El zorro de arriba y el zorro de abajo* (1971, *The Fox from Up Above and the Fox from Down Below*).

The advent of Arguedas's novels, a high point in the literary representation of the Andean world, coincided with the rise of an urban narrative informed by the urban immigration of indigenous peoples. Enrique Congrains Martín was a pioneer in the exploration of the shanty-town. Alfredo Bryce Echenique, the greatest humorist in Peruvian narrative fiction, explored the rise of a new ruling sector in Peru, one which displaced the oligarchy associated with the ownership of vast landholdings. Mario Vargas Llosa made his literary mark with *La ciudad y los perros* (1963, *Time of the Hero*), a novel in which the conflicts of the Peruvian nation are played out in the confines of a corrupt military academy. Vargas Llosa is best known as one of the key figures of the new Latin American novel. He has been celebrated for his technical mastery of narrative planes of SPACE and TIME in novels that explore social corruption, political fanaticism, and the compensations of literature and of the imagination. His *Conversación en la catedral* (1969, *Conversation in the Cathedral*), arguably the greatest Peruvian novel, is set in Lima as a fulcrum from which to assess the dilemmas of the nation. His other works include novels set in the Peruvian jungle and coastal deserts—*La casa verde* (1965, *The Green House*) is a tour de force in a post-Faulknerian style—novels set in the Andes, including *Lituma en los andes* (1993, *Death in the Andes*), and a book-length monograph on Arguedas, the Peruvian novelist he admired more than any other.

In the period of MAGICAL REALISM, important contributions in the Andean world include the writings of the Ecuadorian Demetrio Aguilera Malta and others. The Andean novel also addressed the cosmopolitan concerns of the 1960s and 1970s. *Entre Marx y una mujer des-*

nuda (1976, *Between Marx and a Naked Woman*), for example, is a novel by the Ecuadorian Jorge Enrique Adoum, which explores predicaments germane to the Andean region from a perspective informed by developments in political and PSYCHOLOGICAL literature in the context of an experimental novel. Edgardo Rivera Martínez renewed the *indigenista* novel with a nuanced sensibility for the interior world of his characters. There are also fascinating HISTORICAL NOVELS like those by the Bolivian novelist Ramón Rocha Monroy (1950). In *Potosí 1600* (2002) Rocha Monroy re-creates the Spanish Colonial period in the Andes, focusing on the dynamics of a mining center with a huge indigenous population, that created one of the most extraordinary cities in the Western hemisphere. Other novelists from the Andean nations that contributed to the novel are the Bolivians Marcelo Quiroga Santa Cruz and Jesús Urzagasti; the Ecuadorians Pedro Jorge Vera, Miguel Donoso Pareja, and Ivan Égüez; and the Peruvians Manuel Scorza, Carlos Eduardo Zavaleta, Osvaldo Reinoso, and Luis Loaysa.

Cosmopolitan concerns have emerged in the Andean novel in a process that has not yet been fully assessed. A cohort of writers with new sensibilities are reinterpreting the past or trying to move away from older paradigms, including Edmundo Paz Soldán, Juan Claudio Lechín, and Giovanna Rivero from Bolivia; Javier Vázconez, Leonardo Valencia, and Gabriela Alemán from Ecuador; Alonso Cueto, Fernando Iwasaki, Santiago Roncagliolo, and Giovanna Pollarolo from Peru. These writers are in the process of redefining the genre in the age of globalization and transnationalism.

SEE ALSO: Race Theory, Translation Theory.

BIBLIOGRAPHY

- Cornejo Polar, A. (1977), *Novela peruana*.
 Cornejo Polar, A. (1994), *Escribir en el aire*.
 Mariátegui, J.C. (1928), *Seven Interpretive Essays on Peruvian Reality*.
 Márquez, I. (2005), "The Andean Novel," in *Cambridge Companion to the Latin American Novel*, ed. E. Kristal.
 Meléndez, C. (1934), *Novela indianista en Hispanoamérica (1832–1889)*.
 Rama, A. (1985), *Transculturación narrativa en América Latina*.
 Sacoto, A. (1987), *Nueva novela ecuatoriana*.
 Zayas de Lima, P. (1985), *Novela indigenista boliviana de 1910–1960*.

Anthropology

JAMES BUZARD

As long as there have been travelers encountering societies and customs foreign to them, there has been something like anthropology. The *Histories* of the Greek writer Herodotus (fifth century BCE) exhibit much of what we would now call anthropological or ethnographic curiosity about Persian, Egyptian, and other ways of life. And they contain, knowingly or not, a good deal of fiction as well. The "traveler's tale" has borne a reputation for unreliability, fancifulness, and fabrication for many centuries, so one might conceivably begin an account of the relationship between the novel, as a sustained fictional narrative, and anthropology in the days of the ancient Greeks. Homer's widely traveled Odysseus, the "man of many ways," was a consummate fabulist. One strand out of the many that gave rise to the novel GENRE was surely the report of a journey to strange lands, fictionalized in such subgenres as the utopian tale and surfacing in works often claimed as immediate progenitors of the modern novel form, such as Aphra Behn's *Oroonoko* (1688) and Daniel Defoe's *Robinson Crusoe* (1719–22).

A more focused account of the novel and anthropology, however, best begins much more recently, at the point of transition commonly perceived to have taken place within the discipline of anthropology in the opening decades of the twentieth century. Around that time a shift of paradigms occurred in which a discipline that understood its object, human culture, as a singular, universal phenomenon began to give way to one that focused on plural, distinctive cultures. Under the former paradigm, the emphasis was temporal, the method comparative. The institutions, technologies, and arts of many societies were compared with each other to determine where each ranked in a hierarchy running from primitive to more fully evolved, from "savagery" to civilization. Over the last three decades of the nineteenth century, as anthropology became ever more firmly established among the academic professions, the efforts of its practitioners reflected the influence of Charles Darwin (1809–82) and other natural scientists who had enacted a paradigm shift of their own, away from the static taxonomies of the eighteenth century.

ANTHROPOLOGY IN THE NINETEENTH AND TWENTIETH CENTURIES

Anthropology would study evolution in the social domain as Darwin and others studied it in the natural. The most direct application of Darwin's thought to the social world, and the crudest, was "social Darwinism," which many have attacked as legitimizing laissez-faire economics and the widening gulf between rich and poor that characterized the "Gilded Age" following the American Civil War (1861–65). If human interaction could be seen as the kind of pitiless competition for survival that Darwin's theory of natural selection seemed to represent, then

governments and misguided ameliorative institutions needed to get out of the way, let the fight commence, and let the “best” man win. Novels of the late nineteenth-century school of fiction known as NATURALISM specialized in the examination of Darwinian social landscapes and of individuals’ subjection to the remorseless workings of social law.

More benign forms of anthropological developmentalism feature in the work of E. B. Tylor (1832–1917), Lewis Henry Morgan (1818–81), Henry Maine (1822–88), and John Ferguson McLennan (1827–81), who proposed varying accounts of the processes by which such vital institutions as law and marriage had evolved, and whose arguments gave new dimension to such novelistic conventions as the BILDUNGSROMAN and the marriage plot. One further subset of evolutionist COMPARATIVISM began to emerge toward the end of the nineteenth century as a number of scholars, most notably J. G. Frazer (1854–1941), focused their attention on the study of MYTHOLOGY and RELIGION, claiming to discover basic recurrent motifs in the legends and beliefs of societies widely separated from each other in TIME OR SPACE.

The type of anthropology that rose to dominance in the twentieth century, which is often called “ethnography,” rejected the universal scope, the comparative method, and the emphasis on the evolution of social forms over time. The new model promoted the study of single cultures as functionally integrated systems, and it developed the method of “participant observation,” which required anthropologists to live among their subjects for an appreciable amount of time. Through the efforts of pioneers like Franz Boas (1858–1942), Bronislaw Malinowski (1884–1942), and others, the anthropologist as fieldworker, who acquired “the native’s point of view” through “immersion” in the foreign culture, replaced the

“armchair” anthropologist of the nineteenth century, who had assembled his universal histories out of scholarly documents and reports sent to him by an army of amateur travelers. Alien social practices, institutions, and beliefs that initially might seem bizarre or even savage to the outside observer would thereby come to make sense within the distinctive totality of the culture. No practice, institution, or belief could be grasped in isolation, but only as part of a web connecting all the elements of a particular way of life. Rather than regarding the differences between human societies primarily in terms of temporal progression from primitive to civilized, twentieth-century fieldworkers construed the significant differences of the human social world as spatial. One could envision, and sometimes produce, ethnographic maps of the world indicating the territory of the globe belonging to each culture, and the boundaries between cultures were sometimes treated as impermeable.

DEVELOPMENTS IN ANTHROPOLOGY AND THE NOVEL

The novel has important relations to both of these phases of anthropology. The rise to dominance of the evolutionist paradigm in nineteenth-century science is roughly contemporaneous with the emergence of the bildungsroman, in which the protagonist’s development from potentiality to self-realization forms the matter of the plot. The bildungsroman has also been described as “the symbolic form that more than any other has portrayed and promoted modern socialization,” opening up an anthropological perspective on the procedure by which individuals internalize the values of their cultures as they grow (F. Moretti, 1987, *Way of the World*, 10). Prominent examples of the form include Stendhal’s *Le rouge et le noir* (1830, *Scarlet and Black*), Honoré de Balzac’s *Illusions perdues* (1837–43, *Lost*

Illusions), Charlotte Brontë's *Jane Eyre* (1847), and Charles Dickens's *David Copperfield* (1849–50). Balzac's novel is part of his career-long series, *La comédie humaine* (*The Human Comedy*), the goal of which was to represent French society in all its aspects. This ambition resembles that of the modern ethnographer, who aims to produce an exhaustive account of that distinctive web of relations that constitutes the single culture. Novels such as George Eliot's *The Mill on the Floss* (1860) or Thomas Hardy's tales of the fictional English county of Wessex may be seen as combining elements of nineteenth- and twentieth-century anthropology, for they yoke representation of a circumscribed REGIONAL culture with the deep historical background associated with evolutionism.

That subset of comparativism represented by Frazer influenced many novelists and fostered an important school of criticism. Frazer's magnum opus *The Golden Bough* (in several editions between 1890 and 1922) treats human thought as proceeding through three historical phases: magical, religious, and (just then emerging) scientific. Spreading throughout history and across the globe, eventually growing to twelve volumes, Frazer's study advances the thesis that two archetypal figures, the "dying god" and the "scapegoat," underlie virtually all of human myth and religion, and that at some early moment the two were fused into one, in a combination still vital in the Christianity of "civilized" Western Europe. The dying god figure, a sacrificial victim killed and reborn in a younger avatar, addressed humanity's primitive desire to ensure agricultural and procreative fertility. The scapegoat addressed a community's desire to purge itself periodically of sin or contamination. Whatever the surface differences between eras or societies, everywhere and at all times humanity was engaged in re-enacting the cyclical drama of "purgation,

purification, and regeneration" (J. B. Vickery, 1973, *Literary Impact of the Golden Bough*, 63). Frazer's intellectual outlook owed much to Scottish Enlightenment philosophers of history and to the Romantic-era novels of Walter Scott, which typically juxtapose "primitive and civilized societies, examining the connections between them" (R. Crawford, 1990, "Frazer and Scottish Romanticism," in *Sir James Frazer and the Literary Imagination*, ed. R. Fraser, 21).

Thanks not only to Frazer but also to Sigmund Freud (1856–1939), the persistence of the primitive behind the façade of modern life became a major theme of modernist literature and the arts, figuring in such novels as Joseph Conrad's *Heart of Darkness* (1900), D. H. Lawrence's *Women in Love* (1920), and James Joyce's *Ulysses* (1922) and *Finnegans Wake* (1939) (see MODERNISM). These and many other works also exhibit a fascination with fertility rites and the death-and-rebirth cycle. Frazer was among the leading inspirations for myth or archetypal criticism, a significant movement in literary studies during the 1940s and 1950s, the crowning achievement of which was Northrop Frye's *Anatomy of Criticism* (1957).

A related school in the study of narrative fiction had links with structuralist anthropology, largely developed by Claude Lévi-Strauss (1908–2009), who observed that myths from many different cultures bear a remarkable number of common elements (see STRUCTURALISM). The goal was to discover the fundamental storytelling logic, the conceptual toolkit shared by all human beings, constant over time and operating beneath the surface of stories ostensibly unlike one another. An important precursor was Vladimir Propp (1895–1970), who claimed to have discovered the "morphology" or basic structure of folktales (1928, *Morphology of the Folktale*). The quasi-scientific structural analysis of narrative, eventually labeled

“narratology,” evolved into a highly technical subdiscipline that flourished in the 1960s and 1970s (see NARRATIVE).

THE “ETHNOGRAPHIC IMAGINATION”

In recent years, the novel’s relationship to twentieth-century fieldwork ethnography has received considerable attention. There has long been an intuitive sense that the novel, particularly the nineteenth-century novel of REALISM, bears some relation to a social science devoted to the “thick description” (C. Geertz, 1973, *Interpretation of Cultures*, chap. 1) of distinctive cultures and the “manners and morals” germane to them (L. Trilling, 1950, *Liberal Imagination*). Not only did it make sense to regard the novelist as a type of anthropologist, but the anthropologist must also be “a novelist able to evoke the life of a whole society” (M. Mauss, 2007, *Manual of Ethnography*, trans. D. Lussier, 7). Nevertheless, one of the best books on the prehistory of the modern, plural “culture-concept,” Christopher Herbert’s *Culture and Anomie*, dissents from these assumptions and mainly dissociates the novel genre from the ethnographic imagination.

Among the studies that have attempted to probe this connection are Morroe Berger’s *Real and Imagined Worlds* (1977) and Richard Handler and Daniel Segal’s *Jane Austen and the Fiction of Culture*. Both Michael Elliott and Brad Evans focus on late nineteenth-century American writing, particularly as it came to grips with racial and regional differences. For Elliott, modern ethnography and the literary realism that preceded it “developed similar strategies” for addressing the “representation of group-based difference” (xiv). Evans considers the thirty-year hiatus between the entrance of *culture* into Anglo-American anthropology

(ca. 1870) and its adoption by modern ethnography (ca. 1910), contending that the anachronistic application of the culture-concept onto these crucial decades obscures the view of how variously difference was represented in them and of the forces then at work that delayed the accession of “cultures.” These two books treat such celebrated authors as Henry James, William Dean Howells, Joel Chandler Harris, and Zora Neale Hurston, along with a host of lesser-known figures. Another important study of the American context, also not limited to the novel, is Susan Hegeman’s *Patterns for America*, which diverges from Elliott and Evans in stressing the affinities between modern ethnography and its literary contemporary, American modernism. The key to this linkage is to be found in twentieth-century anthropology’s “spatial reorganization of human differences,” referred to above (32). What connects the social science and the aesthetic movement is their common “rejection of the models of teleological progress” that informed so much of Victorian intellectual life (35).

Also committed to exploring the links between ethnography and modernism, taking in British and Irish poets, novelists, and critics along with American ones, is Marc Manganaro’s *Culture, 1922*. Here the notion of functional integration is paramount. For example, in a chapter on Joyce, Manganaro notes the “filiations” among the aesthetic theory famously presented in *A Portrait of the Artist as a Young Man* (1916), Joyce’s concept of the revelatory “epiphany,” and “those ethnographic-magical moments when the materials of anthropological inquiry—the low, drab, and ordinary” come together in the vision of a single cultural network (136). Gregory Castle’s *Modernism and the Celtic Revival* offers a specifically Irish focus, which examines the relationship between the nascent ethnographic imagination and Celtic cultural nationalism around

the turn of the twentieth century (see NATIONAL). Carey Snyder's recent work treats British modernist fiction exclusively, showing how novelists such as Virginia Woolf, E. M. Forster, Joseph Conrad, and H. G. Wells "significantly engaged the ethnographic discourse of their day—sometimes mirroring and sometimes critically commenting on its assumptions and practices" (7). The late nineteenth- and early twentieth-century novels Snyder treats deal with the colonial contexts out of which fieldworking ethnography emerged, and they seem to have been better at raising the epistemological, political, and ethical challenges those contexts evoked than were the early ethnographers themselves, preoccupied as they were with professional self-justification and dependent as they were likely to be on colonial institutions. A similar argument is made on behalf of African novels by Eleni Coundouriotis in *Claiming History*.

AUTOETHNOGRAPHY

A different approach is taken by James Buzard, who treats nineteenth-century British novels as preparing the way for modern ethnography in reverse, by developing an "autoethnographic" mode designed to represent not alien far-flung cultures, but the novelist's own. Buzard is concerned not only with thematic connections between literature and the ethnographic but also with formal ones. Looking back on the novels of Scott, Dickens, C. Brontë, and Eliot, Buzard locates in them a "reorientation and freighting with new significance of a fundamental aspect of narrative, the relationship between narrator and characters, or between what narratologists call *discourse-* and *story-spaces*" (12; see STORY). This basic duality in narrative came to function as a precursor to

the alternation of outsiders' and insiders' perspectives characteristic of that modern ethnographic writing that would focus on the individual, spatially discrete culture.

Developments in anthropology and in the novel in the second half of the twentieth century have afforded another arena in which an autoethnographic body of fiction might emerge. In the era of decolonization following WWII, anthropology increasingly fell under attack for allegedly providing aid and intellectual justification for Western colonialism. In such landmark works of postcolonial analysis as Edward Said's *Orientalism* (1979), anthropology's methods were regarded as furnishing coercive and reductive stereotypes of non-Western peoples that made those peoples appear suited and even amenable to domination by Occidental powers. From this environment of harsh critique arose a conception of the non-Western novel as an instrument for "talking back" to those representations of non-Westerners imposed upon them from without. Authors of the newly decolonized world produced a series of novelistic rewritings of Western novels, the most notable early example being the Nigerian Chinua Achebe's *Things Fall Apart* (1958), a work understood as telling "the other side of the story" of Conrad's *Heart of Darkness*. In other words, it represents Nigerian tribal life from the inside rather than from the condescending perspective of the conquering Westerner. By the end of the twentieth century, fiction by writers from once-colonized portions of the world had achieved remarkable global prominence, as exemplified in the case of Salman Rushdie, and, even when not overtly reversing previous Western accounts, such fiction exhibits increasing self-consciousness about the obligation to present itself as an authentic, or insider's account of this or that segment of the non-Western world. In a significant and politically charged version of the postmodern self-referential

text, postcolonial writers sometimes embraced, analyzed, cast off, or ironized their autoethnographic burden and sometimes appeared to do all these things at once (see METAFICTION).

SEE ALSO: Narrative Perspective, Race Theory, Naturalism.

BIBLIOGRAPHY

- Buzard, J. (2005), *Disorienting Fiction*.
 Castle, G. (2001), *Modernism and the Celtic Revival*.
 Coundouriotis, E. (1999), *Claiming History*.
 Elliott, M.A. (2002), *Culture Concept*.
 Evans, B. (2005), *Before Cultures*.
 Handler, R. and D. Segal (1990), *Jane Austen and the Fiction of Culture*.
 Hegeman, S. (1999), *Patterns for America*.
 Herbert, C. (1991), *Culture and Anomie*.
 Manganaro, M. (2002), *Culture, 1922*.
 Snyder, C. (2007), *British Fiction and Cross-Cultural Encounters*.

Appropriation *see* Adaptation/
 Appropriation

Arabic Novel (Mashreq)

WAÏL S. HASSAN

One of the longest literary traditions in a living language, Arabic literature began in the fifth century CE (two centuries before the start of the Islamic calendar in 622 CE), with the oldest recorded poetry in that language. Dubbed "*Diwan al-'Arab*," or "the Register of the Arabs," poetry has remained the preeminent GENRE throughout the history of Arabic literature, with the poet enjoying the status of seer, philosopher, moral authority, and spokesman for the community—so much so that the Qur'an had to state emphatically that Muhammad was neither poet nor priest, but a prophet with a divine message, and that the Qur'an itself was no poetry, but the Word of God (69:40–43).

Various narrative genres existed alongside poetry, but aside from Qur'anic narratives, which as divine speech were considered to be on a plane higher than that of literature, the arbiters of literary taste regarded most as inferior. Such narrative forms as the *qissa* (story), *hikaya* (tale), *usturah* (myth), *khurafah* (fable), and *sirah* (saga) enjoyed great popularity but none of the prestige of poetry, with its elaborate prosody and highly formal diction and imagery. And whereas works belonging to those narrative genres were of unknown authorship, as is always the case in oral cultures, poetry brought distinction to the individual poet who composed it. Annual trading fairs held in various parts of Arabia served as poetry conventions, at which panels of respected authorities judged the poems recited by representatives of different tribes. This functioned as a formal mechanism for canonizing great poets and recognizing emerging ones, whose fame would spread far and wide, enhancing the prestige of their tribes. No such forums honored narrative genres in pre-Islamic Arabia.

Islam turned Arabic from an oral into a literate culture. After the death of Muhammad, it became necessary to preserve in writing not only the text of Islam's holy book but also the prophet's *hadith* (sayings), which together with the Qur'an constitute the main sources of Islamic doctrine and legislation. This gave rise to a host of scholarly disciplines concerned with the interpretation of the Qur'an and the *hadith*, as well as the study of the Arabic language and its literature. However, that historic switch from orality to literacy did nothing to diminish the status of poetry as the most important genre of Arabic literature; the oral recitation of poetry remains now the highlight of literary festivals in the Arab world, with celebrated poets drawing audiences in the thousands. Yet the spread of writing and reading made possible the

development of new branches of learning and of literature, including narrative genres.

The first great narrative work in Arabic was *Kalila wa Dimna*, a translation, via Persian, of the Sanskrit *Panchatantra*, a collection of beast fables, by the eighth-century litterateur Ibn al-Muqaffa'. However, the best-known work of Arabic fiction is undoubtedly *Kitab alf layla wa layla* (*Book of the Thousand and One Nights*), also known in English under the mistranslated title, *The Arabian Nights*. A compilation of stories of Chinese, Indian, Persian, and Arabic origins (the names of the main characters are Persian and the FRAME story is set vaguely in the lands between India and China, clearly denoting a faraway, exotic locale for the stories' Arab audiences), it is a work of complicated textual history that exerted a tremendous influence on the literary imagination of both Arab and European writers, the latter being introduced to it by means of successive TRANSLATIONS from the eighteenth-century onward. Enjoying mass appeal through the medium of the *hakawati*, or oral storyteller who entertained crowds at coffeehouses and festivals, the work's literary reputation in the Arab world nevertheless remained low, a function of its prosaic style and sensationalism, until the middle of the twentieth century, when major Arab scholars began to study it and novelists to rework its themes and motifs.

Very different was the reputation of the *maqama*, a narrative genre that emerged in the eleventh century and continued well into the twentieth. The *maqama* combined poetry and the highly stylized prose characteristic of *adab* (belles-lettres) with the thematic concerns and narrative tastes of the lower echelons of society, thus securing both literary and popular appeal. Formalized by Badi' al-Zaman al-Hamadani in the tenth century and popularized by Abu Muhammad al-Qasim al-Hariri in the eleventh, the *maqama* related the adventures of

wandering rogues and mendicants and is said to have influenced the rise of PICA-RESQUE fiction in Spain during the late Middle Ages. As one critic contends, the *maqama*'s enduring popularity, its use of travel and adventure as a framework, its use of narrative framing and multiple narrators, its mixture of styles, and its alternation of humorous and serious tone, allowed the *maqama* to play a key role in facilitating the emergence of the Arabic novel in the late nineteenth and early twentieth century (Omri). It was in that genre, for example, that the first French novels were translated into Arabic in the nineteenth century (see TRANSLATION); this development, along with the original *maqamas* and Arabized European novels written at the time, helped domesticate and popularize the novel.

CONTEXTS OF THE NOVEL

The colonial period in the Arab world—the region stretching from the Persian Gulf to the Atlantic Ocean, most of which had been part of the Ottoman Empire since the seventeenth century—began with the French invasion of Egypt in 1798. The French occupation of Egypt lasted only three years, but in 1830 France annexed Algeria, then occupied Tunisia in 1881 and Morocco in 1912. Spain occupied parts of Morocco in 1886, and Italy occupied Libya in 1911. In 1882, Britain occupied Egypt and then the Sudan in 1898. In the aftermath of WWI, the remaining parts of the Arab world—Greater Syria (which the colonialists divided into what is now Syria, Lebanon, Jordan, and Palestine), Iraq, and the Persian Gulf—were divided into British and French colonies and protectorates, except for parts of the Arabian peninsula which remained relatively independent.

Insofar as it addresses the issues arising from Arab societies' experience under European colonialism, modern Arabic

literature may be said to be postcolonial. Yet it must also be noted that during the preceding three centuries, the Arab world had been dominated by the increasingly weak and decadent Ottoman Empire. Anti-Ottoman movements began to emerge in the nineteenth century, culminating with Arab collaboration with the Allies in WWI. At the same time, however, the European colonial threat led to a movement called the *Nahda* (revival), which aimed first at borrowing European science and technology but eventually exposed Arab intellectuals to European culture, thought, and literature. *Nahda* intellectuals saw their task as one of selective borrowing from Europe while at the same time striving for authenticity with regard to Arab cultural identity. Together with the renewed interest in classical Arabic literature, which came to be seen as the repository of Arab cultural identity, European literary styles, genres, and movements became a source of influence. Much of modern Arabic literature is, therefore, the product of both anti-Ottoman and anti-colonialist impulses, some of which paradoxically aimed at achieving their goal through the selective adoption of Europe's modernity while at the same time resisting its cultural imperialism. Thus in a broad sense, a great deal of modern Arabic literature negotiates this complex response to Europe, encompassing such themes as the reassessment of the Arab Islamic cultural tradition; social, political, and religious critique; the status of women; resistance to colonialism and imperialism; the challenges of nation-statehood and pan-Arab nationalism; and the Arab—Israeli conflict, among others.

These themes are not always explicitly or directly tied to colonialism, but they arise out of a social milieu that has been affected in many ways by the multiple forms of political and cultural domination in the Arab world. In the late nineteenth and early twentieth centuries, for example, the

renewed interest in classical Arabic literature was to a great extent an attempt to articulate a cultural identity associated with Arab civilization at the height of its power. Not surprisingly, therefore, poetry, which Arabs have always considered to be one of their greatest cultural achievements, reclaimed its function as the expression of social values and aspirations, as well as becoming an important organ of social and political mobilization. The classical poet was first and foremost a public figure, both in pre-Islamic times, when he championed his tribe and satirized its enemies, or after Islam, when he used the conventional ode for personal or political ends, praising or denouncing a prince or governor. In all cases the poet adopted the stance of a sage who formulated maxims and gave memorable poetic expression to prized moral values. In other words, classical Arabic poetry was a powerful form of public discourse in which the poet consciously assumed the role of spokesman for the community. It is precisely such a role that poets in Egypt, then later in Iraq, Syria, Palestine, and elsewhere assumed, as they voiced their opposition to, and rallied the masses against, foreign occupation.

The novel also participated in the nationalist project (see NATIONAL). Although it was imported from Europe, the abundance of other narrative genres in Arabic literature informed and facilitated the appropriation of the novel. For example, intended for entertainment, social commentary, and moral instruction, the *maqama* genre was used in the nineteenth century by the Lebanese Nasif al-Yaziji and Ahmad Faris al-Shidyaq as part of the effort to recover and disseminate the classical heritage in an age of rising anti-Ottoman sentiment, spreading literacy and increasing the availability of print materials. Al-Yaziji's work harkened back to al-Hariri, evoking his protagonist Abu-Zayd al-Suruji, while

al-Shidiyaq's *Al-Saq 'ala al-Saq fi ma huwa al-Fariyaq* (1855, *Al-Fariyaq's Crossed Legs*) confronted the cultural ascendancy of Europe and its impact on Arab culture. Muhammad al-Muwailihi's *Hadith 'Isa Ibn Hisham* (1898–1902, *The Tale of 'Isa Ibn Hisham*), the title of which clearly establishes a link with al-Hamadhani's work across a thousand years, satirized Westernization, corruption, and other social and moral ills.

THE EMERGENCE OF THE NOVEL

The novel as such began with loose translations and adaptations of European novels in the rhymed prose characteristic of the *maqama*. The pioneer of the *Nahda* and founder of the first school of translation, Rifa'ah Rafi' al-Tahtawi, translated François Fénelon's *Les aventures de Télémaque* (1699, *The Adventures of Telemachus*) in 1867, followed in 1871 by Bishara Shadid's translation of Alexandre Dumas's *Le Comte de Monte Cristo* (1844–45, *The Count of Monte Cristo*), and in 1872 Muhammad 'Uthman Jalal Arabized Bernardin de Saint-Pierre's *Paul et Virginie* (1788). Yusuf Sarkis and Salim al-Bustani during the 1870s, and others during the 1880s—1890s, popularized the genre of the historical ROMANCE through translations published serially in magazines (see SERIALIZATION). By one estimate, more than a hundred novels were translated or adapted from French alone by the end of the first decade of the twentieth century (Badawi, 93). Translations from English, particularly of Walter Scott, Arthur Conan Doyle, William Makepeace Thackeray, and Charles Dickens, as well as other European writers, also appeared eventually. Other writers turned to Arab Islamic history for themes and wrote original novels that served as a vehicle for moral instruction. Jurji Zaidan popularized this trend, along with Salim al-Bustani,

Niqula Haddad, Ya'qub Sarruf, Mahmud Tahir Haqqi, and others.

Women writers also contributed to the emerging genre during the same period. The first Arab woman to write a novel was 'A'ishah Taymur, and her *Nata'ij al-ahwal fi al-aqwal wa al-af'al* (1887–88, *The Results of Speech and Action*) at once betrays the influence of the *maqama*—the title uses the rhymed prose characteristic of the genre and of much Arabic prose in the nineteenth century—and of the newly translated French novels, particularly in the construction of a unified plot rather than the episodic structure of the *maqama*, something that represents an important step in the development of the Arabic novel (Zeidan, 62–63). Other women writers, such as Alice al-Bustani (daughter of the above-mentioned translator) and Zaynab Fawwaz (an important figure in early Arab feminism), also wrote novels during the 1890s that, like many works by their male counterparts, had moral instruction as their objective (see FEMINIST).

The conventional, though now highly disputed view among literary historians is that the Arabic novel proper began in 1913 with the publication of the Egyptian Muhammad Husayn Haykal's *Zaynab*. According to Haykal (who wrote the novel in Paris, London, and Geneva and published it in Cairo anonymously for fear that writing fiction might compromise his professional reputation as a lawyer), the novel's focus on the Egyptian peasantry was intended as part of the rising tide of nationalism that led to the 1919 revolution against the British occupation (Badawi, 105). Those who see *Zaynab* as the first Arabic novel cite its explicit focus on contemporary conditions, comparable to the European novel during the two preceding centuries, its unadorned prose style that breaks with the conventions of the *maqama* (see NARRATIVE TECHNIQUE), its limited REALISM (which is mixed with lyricism

and romantic idealization of the countryside), and its unified (rather than episodic) plot.

The development of the novel written in Arabic was relatively slow in the three decades following the publication of Haykal's *Zaynab*. Not surprisingly, novelists tackled the relations between the Arab world and Europe with various degrees of emphasis during the colonial period. Two of the novels that appeared during that period, Tawfiq al-Hakim's *'Ushur min al-sharq* (1938, *A Bird from the East*) and Yahya Haqqi's *Qindil Umm Hashim* (1944, *A Saint's Lamp*), depicted Egyptian students who travel to Paris and London, respectively, to pursue their higher education. They fall in love with European women, and those romantic affairs provide the opportunity for exploring the complexities of Arab—European relations, as well as for criticism of outdated customs in Arab societies. This pattern continues in the post-independence period (the 1950s and after throughout the Arab world) to inform a great many novels, most famous of which is the Lebanese Suhayl Idris's *Al-hayy al-latini* (1953, *The Latin Quarter*) and the Sudanese Tayeb Salih's *Mawsim al-hijra ila al-shamal* (1966, *Season of Migration to the North*). One of the most important Arabic novels, *Season of Migration*, uses two narrators of different generations, both of whom travel to England to study, and multiple, sometimes contradictory narrative viewpoints to depict the violence of colonialism and the psychological damage that racism and sexism inflict on the protagonist and the women he encounters in London, as well as the violent social upheavals caused by the clash of European and indigenous cultures in the Sudanese context (see NARRATIVE PERSPECTIVE). While unstinting in its condemnation of colonialism, the novel attacked in equal measure native patriarchal values and the corruption of the postcolonial ruling elite.

NAGUIB MAHFOUZ

Naguib Mahfouz (also written Najib Mahfuz) is credited with single-handedly establishing the novel as a preeminent genre of modern Arabic literature. Over the course of seven decades, he published more than forty novels and short story collections, many of which are landmarks in modern Arabic fiction, in addition to seven volumes of articles, several more of interviews, and twenty film scripts. Awarded the Nobel Prize in Literature in 1988, Mahfouz studied philosophy at Cairo University during the early 1930s and then worked as a civil servant in a number of ministries until his retirement. Mahfouz read extensively in the European novel early in his writing career, which began with the ambitious plan of writing forty historical novels set in ancient Egypt. He only wrote three such novels during the late 1930s and early 1940s, of which *Kifah Tibah* (1941, *Thebes at War*) is best known for allegorizing Egypt's successful struggle against foreign occupiers, with the Hyksos clearly standing for the British. After the 1952 revolution, that novel became required reading in Egyptian schools—the first time that a novel was enshrined in official culture and an indication of how far the genre had come since Haykal published *Zaynab* anonymously four decades earlier.

Mahfouz abandoned his grand plan when he realized that realistic fiction was better suited to chronicling and analyzing modern Egypt. With that began a new phase of his career that, from 1943 to 1957, saw the publication of eight novels, including some of his best-known works. *Zuqaq al-midaqq* (1947, *Midaq Alley*) vividly depicts the inhabitants of an alley in one of Cairo's older, lower-middle-class neighborhoods during World War II, focusing on a beautiful and ambitious young woman who becomes a prostitute catering to British soldiers. The novel displayed Mahfouz's great skill at

drawing a memorable cast of characters and weaving a complex plot that slowly builds toward a dramatic, symbolically charged climax. *The Cairo Trilogy*, written over a four-year period in the early 1950s and published in 1956–57, is a monumental work that traces the transformations in Egyptian society from the late nineteenth century to the eve of WWII through the saga of the ‘A’bd al-Jawwad family. This rich panorama of events and characters put on full display Mahfouz’s mastery of the narrative craft and firmly established his reputation as Egypt and the Arab world’s preeminent novelist.

After the *Trilogy*, Mahfouz embarked on a long series of experimental as well as realistic novels that commented directly and indirectly (freedom of speech being at times limited or nonexistent) on political and social conditions in Egypt (see CENSORSHIP). *Awlad Haritna* (1959, translated twice as *Children of Gebelawi* and as *Children of the Alley*), became immediately controversial to religious authorities for allegorizing the Qur’anic stories of Adam, Moses, Jesus, and Mohammed, whose sanctity as prophets was seen to have been violated through fictional representation. Ironically, Mahfouz had intended the novel as a political allegory warning President Gamal ‘Abd al-Nasir’s (Nasser) regime against the corruption of its revolutionary ideals by authoritarian rule, a reading that was lost in the clamor over the novel’s alleged sacrilege (see NARRATIVE). When the Nobel Committee mentioned the novel among Mahfouz’s works that earned him the 1988 award, the controversy over *Awlad Haritna* erupted again and an Egyptian radical cleric issued a *fatwa* against Mahfouz that led a young militant to stab the 81-year-old writer in the neck outside his residence in Cairo in 1992. Mahfouz survived, but the injury left him unable to write for several years and only for short periods of time afterwards.

During the 1960s—1980s, Mahfouz’s novels were on the whole shorter and more experimental than his realistic novels. Works like *Al-lis wa al-kilab* (1961, *The Thief and the Dogs*) and *Miramar* (1967) experimented with stream of consciousness (see PSYCHOLOGICAL) and multiple narrators, while *Al-maraya* (1972, *Mirrors*), *Layali alf layla* (1982, *Arabian Nights and Days*), and *Rihlat ibn Fattouma* (1983, *The Journey of Ibn Fattouma*) drew inspiration from medieval Arabic biographical dictionaries, the *Thousand and One Nights*, and *The Travels of Ibn Battuta*, respectively. Mahfouz also returned to ancient Egypt in *Amam al-‘arsh* (1983, *Before the Throne*), in which he put on trial, before Osiris, Egypt’s rulers from ancient times down to Nasir and Sadat, and *Al-‘a’ish fi al-haqiqa* (1985, *Akhenaten, Dweller in Truth*). Mahfouz’s last major works were *Asda’ al-sira al-dhatiyyah* (1994, *Echoes of an Autobiography*) and *Ahlam fatrat al-naqaha* (2005, *The Dreams of Departure*).

OTHER NOVELISTS

Since the 1950s, scores of other writers throughout the Arab world have written countless novels of great thematic and formal diversity. Beyond the common language, this diversity makes it impossible to speak of unique or distinctive features of the Arabic novel without running the risk of reductiveness and essentialism. Novelists from Lebanon (Tawfiq Yusuf Awwad, Layla Ba’albaki, Layla ‘Usayran, Emily Nasrallah, Hannan al-Shaykh, Ilyas Khury), Syria (Hanna Mina, Haydar Haydar, Hani al-Rahib, Muti’ Safadi, Collette al-Khuri, Ghadah al-Samman, Halim Barakat), Palestine (Jabra Ibrahim Jabra, Ghassan Kanafani, Emile Habibi, Sahar Khalifa, Lyanah Badr), Iraq (Dhu al-Nun Ayyub, Gha’ib Tu’ma Farman, Layla ‘Usayran), Kuwait (Isma’il Fahd Isma’il), Saudi Arabia (‘Abd al-Rahman

Munif, Raja' al-'Alim, Raja' al-Sani'), Egypt ('Abd al-Rahman al-Sharqawi, Latifa al-Zayyat, Yusuf Idris, Fathi Ghanim, Nawal al-Sadaawi, Sun'allah Ibrahim, Yusuf al-Qa'id, Gamal al-Ghitani, Salwa Bakr), Sudan (Tayeb Salih), Libya (Ibrahim al-Kuni), Tunisia (Mahmoud al-Messadi, Bashir al-Khurayyif, Arroussia al-Nalouh), Algeria (Ahmad Rida Huhu, al-Ta'her Wattar, 'Abd al-Hamid ibn Hadduqah, Wasini al-A'raj, Ahlam Mustaghnam), and Morocco ('Abd al-Karim Ghallab, 'Abdallah al-'Arawi [Laroui], 'Abd al-Majid Bin Jallun, Muhammad Barradah, Muhammad Shukri, Muhammad Zafzaf) have written—sometimes with local and sometimes with pan-Arab emphasis—about Arab cultural identity, the struggle for independence, the Arab—Israeli conflict, the Lebanese Civil War, the status of women, and personal and political freedom, among other concerns.

Often excluded from discussions of the Arabic novel are Arab novelists who have written in other languages. Written in English, Lebanese Ameen Rihani's *The Book of Khalid* (1911) was the first Arab American novel, focusing on the fortunes of two Lebanese immigrants to the U.S. who earn their living from peddling Holy Land exotica, a common occupation at that time. The novel is remarkable for its attempt to fuse Arabic and European narrative styles and conventions, using the rhymed prose and wordplay of the Arabic *maqama* and inserting untranslated Arabic words into English, at the same time that it draws explicitly on Miguel de Cervantes Saavedra's *Don Quixote* (1605, 1615) and Thomas Carlyle's *Sartor Resartus* (1836), all the while taking as its main theme a *Nahda*-inspired project of cultural translation and synthesis. The large number of Anglophone Arab novelists that followed includes the Palestinians Jabra Ibrahim Jabra, who also wrote in Arabic, and Yasmin Zahran; Lebanese Mikhai'l Nu'aymah (Naimy), Nabil Saleh, and Rabih

Alameddine; Jordanian Fadia Faqir; Egyptians Waugh Ghali, Ahdaf Soueif, and Samia Serageldine; Sudanese Jamal Mahjoub and Leila Aboulela; Libyan Hisham Matar; Tunisian Sabiha al-Khemir, and Moroccans Anouar Majid and Laila Lalami. A growing number of Arab-American and Arab-Canadian novelists—including Diana Abu-Jaber, Kathryn Abdul-Baki, Saad Elkhadem, Rawi Hage, D. H. Melhem, Frances Noble, Laila Halaby, and Mohja Kahf—depict in multiple ways the experiences of Arab immigrants and those born to Arab parents or grandparents in North America. Their Hispanophone and Lusophone counterparts in South America include Gregory Mansour and Juan José Saer (Argentina); Milton Hatoum, Salim Miguel, Alberto Mussa, and Radaun Nassar (Brazil); and Luis Fayad (Colombia). Francophone fiction is scarce in the Mashreq, but its writers include André Chédid and Elizabeth Dahab (Egypt) and Etel Adnan, Amin Maalouf, and Evelyn Accad (Lebanon). Rafik Schami (Syria) writes in German, Salwa Salem and Hassan Itab (Palestine) in Italian, while Anton Shammas writes in Hebrew. A sizable group of Maghrebian novelists write in Dutch, English, French, and Italian.

MAJOR THEMES

One of the most persistent themes of Arabic literature since WWII has been the Arab—Israeli conflict following the dispossession of the Palestinians in 1948, then in 1967, by Israeli settler colonialism. The year 1948 is referred to in Arabic historiography as that of *Nakbah*, or Disaster, a term that hints not only at the scope of the plight of the Palestinians but also the magnitude of the historical dislocation felt throughout the Arab world, which was reflected in the literature produced by Palestinians and non-Palestinian Arab writers alike. Almost all the

Palestinian fiction by Ghassan Kanafani, Tawfiq Fayyad, Jabra Ibrahim Jabra, Rashad Abu Shawir, Emile Habibi, and Sahar Khalifa, among others, depicts the conditions of Palestinians both in exile and inside Israel and the Occupied Territories. The devastating defeat of Arab armies in 1967—called *Naksah*, or Setback—signaled not only the loss of more Arab territories but also the demise of pan-Arab nationalism, the reigning IDEOLOGY at the time, which drew upon the sense of Arab identity revived in the nineteenth century in response to Ottoman rule and European colonialism. This crisis of identity, accompanied by disillusionment and frustration with Arab regimes, resonates in countless literary works throughout the Arab world, most important of which are the Syrian Halim Barakat's *'Awdat al-ta'ir ila al-bahr* (1969, *Days of Dust*), the Iraqi Layla 'Usayran's *'Asafir al-fajr* (1968, *Birds of Dawn*) and *Khat al-afa* (1972, *The Snake Line*), the Kuwaiti Isma'il Fahd Isma'il's *Malaf al-hadithah 67* (1974, *Case File 67*), the Moroccan Khanathah Banunah's *Al-nar wa al-ikhtiyar* (1968, *Fire and Choice*), and the Syrian Hani al-Rahib's *Alf laylah wa laylatan* (1978, *One Thousand and Two Nights*).

The Lebanese civil war (1975–90), the result of a constitutionally fragile balance of political and sectarian power upset by the influx of Palestinian refugees into the country, continues to be a major theme of the Arabic novel, as well as of Anglophone and Francophone Lebanese fiction. For example, Elias Khoury's *Al-jabal al-saghir* (1977, *Little Mountain*), *Abwab al-madinah* (1981, *Gates of the City*), and *Rihlat Ghandi al-saghir* (1989, *The Journey of Little Ghandi*) suggest that the conflict symbolizes the state of Arab societies in general; Hanan al-Shaykh's *Hikayat Zahrah* (1980, *The Story of Zahrah*) and Etel Adnan's *Sitt Marie Rose* (1978) focus on patriarchal violence intensified in the chaos of the war; and Rabih

Alameddine's *Koolaid's: The Art of War* (1998) links the ravages of the war to those of AIDS among the gay community of San Francisco. Naturally, most of the novels dealing with the civil war portray the psychological damage it inflicted on those who lived in its midst.

GENDER relations and the status of women have been perennial themes in the Arabic novel from its beginnings. Writing by and for women increased throughout the first half of the twentieth century as women's movements, which began late in the nineteenth century, gathered momentum. Numerous male novelists have critiqued patriarchy's hold on Arab societies, including Suhayl Idris, Tayeb Salih, Yusuf Idris, and others, while women like Layla Ba'albaki, Latifah al-Zayyat, Nawal al-Sadaawi, Ghadah al-Samman, and Hanan al-Shaykh have written groundbreaking novels from openly feminist perspectives. Joseph Zaydan organizes women novelists in the second half of the twentieth century into two categories. The first includes those who affirm "the quest for personal identity" in the face of socially prescribed gender roles, whose numbers include most notably Aminah al-Sa'id, Layla Ba'albaki, Colette al-Khuri, Layla 'Usayran, and Nawal al-Sadaawi. To this growing list one can add the work of Saudi novelists Raja' al-'Alim, Soheir Khashoggi, and Raja' al-Sani'. The second category includes those who challenge such roles in the context of "the quest for national identity," such as al-Sadaawi (again) and Latifah al-Zayyat in Egypt; Hayam Ramzi al-Durdunji, Salwa al-Banna, Layla 'Usayran, Sahar Khalifah, and Liyanah Badr in Palestine; and Ghadah al-Samman, Hanan al-Shaykh, Emily Nasrallah, and Umayyah Hamdan in Lebanon. To Zaydan's two categories can be added novelists who write in English against Orientalist depictions of Arabs and Islam, such as Ahdaf Soueif, Leila Aboulela, and Mohja Kahf.

Finally, beyond Egypt, Lebanon, Palestine, Syria, Sudan, and the Maghreb countries, which have produced the majority of Arab novelists, 'Abd al-Rahman Munif of Saudi Arabia and Ibrahim al-Kuni from Libya have added unique dimensions to the Arabic novel. Al-Kuni's novels depict, for the first time, the life of Libya's nomadic tribes known as the Tuareg, whose culture is not bounded by nation or region, by virtue of their life in the great Sahara deserts. For his part, in a series of novels culminating in the quintet *Mudun al-milh* (1984–89, *Cities of Salt*), Munif commented in a semi-mythical frame on the political situation in the Arab world and Iran. His *Sibaq al-masafat al-tawila* (1979, *The Marathon*) is about the toppling of the Mosaddeq government by the CIA and the rise of the Shah to power. His critique of the drastic social changes that the discovery of oil engendered in Saudi Arabia, the main theme of his quintet, led to his exile to Iraq and stripping of his Saudi citizenship. Munif's quintet remains one of the most monumental works of modern Arabic fiction.

SEE ALSO: Intertextuality, North Africa (Maghreb), Religion.

BIBLIOGRAPHY

- Allen, R. (1995), *Arabic Novel*, 2nd ed.
 Allen, R. (1998), *Arabic Literary Heritage*.
 Badawi, M.M. (1993), *Short History of Modern Arabic Literature*.
 Beard, M. and A. Haydar, eds. (1993), *Naguib Mahfouz*.
 Caiani, F. (2007), *Contemporary Arab Fiction*.
 El-Enany, R. (1993), *Naguib Mahfouz*.
 Hassan, W.S. (2003), *Tayeb Salih*.
 Meyer, S.G. (2001), *Experimental Arabic Novel*.
 Omri, M.-S. (2008), "Local Narrative Form and Constructions of the Arabic Novel," *Novel* 41: 244–63.
 Zeidan, J.T. (1995), *Arab Women Novelists*.

Asian American Novel

JAMES KYUNG-JIN LEE

Since the 1970s, writers and critics have struggled to determine the contours around which a novel—and the larger culture from which it derives—might be considered "Asian American." The Asian American novel, according to generic convention, might be defined as a novel written by a person of Asian descent who resides in the U.S. But such delineation would be put under almost immediate crisis. For there is little if any agreement over what constitutes any of these terms: Asian, American, or novel.

Demographically, the "Asian American" community is composed of people whose ancestors or who themselves hail from widely divergent regions of Asia, as well as, for some, the islands and archipelagos that make up what is often referred to as the Pacific Islands. Historically, the Asian American novel is a relatively recent construction, coinciding with the very origins of the term "Asian American" in the latter half of the twentieth century; like the construction of "Chicana/o" or "Latina/o" literature, the creation of a longer Asian American literary history is at best a conscious reconstruction, what scholar Sau-ling Cynthia Wong calls a "textual coalition," and at worst a persistent anachronism that plagues any conceptualization. Ideologically, writers and critics regard the Asian American novel as the site and term around which contestations over its form and content provide the ballast for larger political struggle over what might constitute such a cultural community, and for what purpose that community exists (see IDEOLOGY).

A controversy that erupted in 1998 serves as a useful example of these conflicts. In that year, the Association of Asian American Studies presented at a conference in Hawai'i its award in literature to Japanese American, Hawai'i-born writer Lois-Ann Yamanaka

for her widely celebrated novel *Blu's Hanging* (1997). But many in the Association as well as those in the larger Asian American community in Hawai'i vigorously opposed the decision. Protestors, mostly but not exclusively of Filipino descent, were dismayed by what they viewed as the Association's sanctioning of what they considered the novel's derogatory stereotypes of Filipinos. Eventually, the Board of the Association rescinded the award, which led to an outcry from Asian American writers for what they viewed as CENSORSHIP (see Fujikane and Okamura). This conflict exposed the deep fissures over the very concept of the Asian American novel. Filipino Americans and their allies brought attention to the differential ways that groups relate to the term "Asian American" and suggested that it is often deployed to put in shadow the deep discontinuities of resource allocation and representational access between ethnic groups. Perhaps more importantly, at stake was the function of Yamanaka's novel itself: while those who supported Yamanaka asserted her artistic freedom, protestors demanded culpability on the part of writers and critics alike for the circulation of cultural ideas, however the ideas are disseminated. In other words, analysis of content must be coterminous with an understanding of the novel as novel; the novel serves both mimetic and mediating roles (see DEFINITIONS). Such conflict has been the hallmark of the history of the Asian American novel, even if the tensions have not always reached such an intense pitch.

EARLY ASIAN AMERICAN NOVELS

Until 1968, the term "Asian American" did not exist. Scholars have retroactively assigned novelists such an identity and

given Winnifred Eaton the honor of being Asian America's first. Some do so reluctantly. Writing under the Japanese-sounding pseudonym Onoto Watanna, Eaton—a product of an English father and Chinese mother—established her early literary career writing romance novels set in Japan. Her first, *Mrs. Nume of Japan* (1899), was followed by *A Japanese Nightingale* (1902), which won her broad popular appeal and a significant following. One might contrast Eaton's success in the literary marketplace with her older sister Edith Eaton, who wrote journalistic essays and short stories under the Chinese pseudonym Sui Sin Far. Both sisters lived amid widespread anti-Chinese sentiment that culminated in the Chinese Exclusion Act of 1882, whose restriction of Chinese immigration to the U.S. would become the model for exclusionary efforts against other ethnic groups, Asian and otherwise. Edith, as Sui Sin Far, devoted much of her work to railing against unjust treatment of Chinese Americans and struggled to portray Chinese characters as figures of complexity against the dominant view of the Chinese as devoid of human characteristics that could be assimilated into American cultural mores. Winnifred, as Watanna, constructed a literary imagination set almost exclusively in Japan, which proved quite profitable during a time when Japanese culture was considered with deep curiosity, if not desirability. Although she herself never visited Japan, Eaton would often pose for daguerreotypes in full Japanese dress (see PHOTOGRAPHY).

For years, scholars looked with derision on what they construed as W. Eaton's false assumption of Japanese identity. More recently, however, noting that Eaton wrote in a period during which notions of RACE were closely tied to biological justifications for racial hierarchy, critics have marveled at

Eaton's ironic displacement of such theories by renarrating racial identities as developed through cultural process rather than biological essence. *The Heart of Hyacinth* (1903) tells the story of a young girl whose birth parents are (white) American, but she is raised by a Japanese foster mother in Japan. Hyacinth, as she is called, dresses, speaks, acts, and identifies as Japanese, even as she recognizes her physical difference from her Japanese friends. The ensuing conflict and resolution over her identity astonishingly do not grant the West cultural priority, but instead suggest a kind of coded racial hybridity that would surely have been anathema to biological racists of Eaton's time.

Eaton was certainly an anomalous figure, given that her father's English nationality and merchant status gave her access to the U.S. unavailable to the vast majority of Chinese, and later others of Asian descent. Likewise, long before the mass migration to the U.S. by people from Korea after 1965, Korean immigrant Younghill Kang fled persecution from Japanese colonial occupiers in the early 1920s, just a few years before the National Origins Act of 1924 would have made such flight impossible. Educated in both Confucian and Western traditions, Kang began writing stories in English shortly after his arrival and in 1931 published *The Grass Roof*, a fictional tale about a young Korean living in the twilight of Korea's feudal society and in the midst of Japanese colonial occupation. His subsequent novel, *East Goes West* (1937), chronicles his protagonist's journey to reconcile his "Eastern" learning with living in the West. Throughout the novel, Kang is at pains to reconcile Confucian teaching in modern, even modernist, contexts, by depicting his narrator as a cultural outsider who acts very much like a Benjaminian *flâneur*, but with a racial difference that puts him in curious relation to other minority groups,

most notably African Americans, by the novel's end.

Autobiography will become a touchstone for controversy later in the 1970s (see LIFE WRITING), but for early Asian American writers autobiographical fiction seemed to reconcile for novelists the competing interests of artistic imagination with the ambassadorial imperative to represent a "community." Carlos Bulosan's *America Is in the Heart* (1946) follows a narrator with Bulosan's namesake who is clearly a composite of different Filipino immigrants living in the U.S. during the era of the Great Depression (1930–39). Like Kang, Bulosan was keenly aware of shifting currents of formal preference, and fused socialist realism (see Russia 20th C) and traditional BILDUNGSROMAN, in effect to make the case that true "growth" of the individual could only take place when socialism was fully realized. It is perhaps because he did not employ the autobiographical mode that John Okada's *No-No Boy* (1957) failed to win over audiences. A veteran of WWII, Okada's novel chronicles the story of a "no-no boy," a Japanese American man who refused to serve in the U.S. military while their families were caged in internment camps throughout the war's duration. Oscillating between extreme REALISM and moments of a stream-of-consciousness mode of narration (see PSYCHOLOGICAL), *No-No Boy* dared to draw moral equivalence between returning veterans and the "no-no boys" as differing but related responses to the state-sanctioned racism of the Internment. But Okada wrote during the Cold War period, when hints of dissent were largely frowned upon, most especially in the Japanese American community for whom the Internment still left deep scars. It would take another, more radical generation to resurrect Okada and to place his novel at the center of the developing, still contested, Asian American "canon."

POST-1965 ASIAN AMERICAN NOVELS

In 1968, a young graduate student named Yuji Ichioka coined the term “Asian American” in the heat of political turmoil in the U.S. Informed by Third World movements around the globe, insurgencies by other minority groups in the U.S., and wide-scale protest against the war in Vietnam, those who rallied as Asian American deployed the term ironically in defiance of the quietism that seemed to pervade their communities. Six years later, four young men—Jeffrey Paul Chan, Shawn Wong, Lawson Inada, and most importantly, Frank Chin—edited a collection titled *Aiiieeeee! An Anthology of Asian American Literature* (1974), not the first but arguably the most polemical statement on Asian American literature. In their introductory essay, the editors of *Aiiieeeee!* excoriate Asian American writers for employing the autobiographical form that serves to resolve Asian American identity through confessional assimilation, the imperative to belong by way of dominant standards. For the editors, the challenge perforce was to develop an alternative language that spoke to Asian American experience without concern for white approval. Ironically, their call for cultural self-determination was actually an anti-mimetic stance, as they sought to create a literary history based on a common aesthetic underpinning, not one caught up in sociological accuracy. Their sense of Asian American aesthetics was brawny, masculine, and refused easy resolution to common understandings of Americanism. Later, Wong and Chin would try their hand at demonstrating this aesthetic in their own novels, *Homebase* (1979) and *American Knees* (1995) for Wong, and *Donald Duk* (1991) for Chin.

Chin continues to lash out at what he regards as “fake” Asian American novelists, the very novelists who are regarded by most

others as having given the Asian American novel its mass popularity and its academic narrative of cultural coherence. He directs his harshest criticism at women writers, most notably Maxine Hong Kingston and Amy Tan. Kingston’s first book, *The Woman Warrior* (1975), is at times considered autobiography, at others a collection of short stories, and on rare occasions even ANTHROPOLOGY (though not by Asian Americans). But it is widely regarded as the most important literary work, for both reasons critical and popular, by an Asian American in the final quarter of the twentieth century. Using the oral tradition of “talk-story” that Kingston learned while writing in Hawai‘i, *The Woman Warrior* chronicles the struggle of young Maxine to make sense of the stories her mother teaches her while growing up in Stockton, California, or as she wonders at one point, “What is Chinese tradition and what is the movies?” Kingston would later write stories in the more recognizably novelistic vein—*Tripmaster Monkey* (1989) and *The Fifth Book of Peace* (2003), though even here Kingston’s playful blurring of genre has continued to confound, delight, or enrage readers and critics.

Tan’s *Joy Luck Club* (1988) took the Kingstonian trope of mother—daughter struggle and broadened it as a cultural conundrum. What enraged Chin about Tan’s novel was its tendency to turn culture into essence by aestheticizing it, so that the novel turned into ethnography. On this point, Chin finds curious alliance with FEMINIST critics, who regard the novel as an example of “sugar sisterhood” that leaves intact conventional notions of GENDER, RACE, and power. But Tan’s redeployment of Kingston’s opening was only one of many efflorescences of a contemporary renaissance of Asian American novels. Readers of the 1990s and the beginning of the twenty-first century bore witness to an explosion of writing that is breathtaking in its breadth and depth.

Such novelists include Chang-rae Lee, whose investigation into contemporary Korean American identity in *Native Speaker* (1995) has since given way to novels that feature non-Korean and even non-Asian protagonists, in *The Gesture Life* (1999) and *Aloft* (2004), respectively. South Asian American novelists such as Bharati Mukherjee and, more recently, Jhumpa Lahiri, are the most obvious examples of those whose ethnic origins hail from the Indian subcontinent, and their novels such as *Jasmine* (1999) and *The Namesake* (2004) return again to questions of belonging and assimilation, tinged by their particular social locations of gender, class, ethnicity, and race. Vietnamese Americans such as Lan Cao and her elegiac novel *Monkey Bridge* (1997) craft prose that tries to approximate a language of trauma borne from war and exile.

Still others move beyond U.S. borders, even sometimes “return” to Asia, or view the world as its frame for their storytelling: Joy Kogawa’s *Obasan* (1981) lyrically chronicled the struggles of Japanese Canadians’ own rendition of the Internment and ushered in an alternative Asian Canadian literary history that had remained in the shadow of Asian American literature; Jessica Hagedorn’s satirical play with popular culture, both Filipino and American, in *Dogeaters* (1990) takes us to the Philippines before the regime (1966–86) of Ferdinand Marcos, and exposes the ideological underpinnings of a transnational Filipino identity whose relationship to U.S. imperialism is simultaneously disavowed and embraced; and Karen Tei Yamashita’s *Tropic of Orange* (1997) places Asian Americans alongside other minority groups in a rearticulation of both physical and discursive geographies in her investigation of contemporary Los Angeles, with definitive imprints from Gabriel García Márquez and cable television. So varied in style and structure is the contemporary Asian American novel, so diverse are

the relative commitments of writers to the category itself, and so numerous are its practitioners, it is ironically its successful arrival as a substantial and sustainable body of literature that threatens to break apart the very contours of the Asian American novel that once gave it such political meaning and cultural significance.

SEE ALSO: African American Novel, Jewish American Novel, Latina/o American Novel, National Literature, Regional Novel.

BIBLIOGRAPHY

- Chan, J.P., Chin, F., Inada, L., and Wong, S., eds. (1974), *Aiiieeeee!*
- Cheung, K.K., ed. (1997), *Interethnic Guide to Asian American Literature*.
- Chu, P.P. (2000), *Assimilating Asians*.
- Eng, D.L. (2001), *Racial Castration*.
- Fujikane, C., and J.Y. Okamura, eds. (2000), “Whose Vision?” Special Issue, *Amerasia* 26(2).
- Kim, E.H. (1982), *Asian American Literature*.
- Koshy, S. (2000), “The Fictions of Asian American Literature,” reprinted in *Asian American Studies*, ed. M. Song and J. Wu.
- Lee, R.C. (1998), *Americas of Asian American Literature*.
- Li, D.L. (1998), *Imagining the Nation*.
- Ling, J. (1997), *Narrating Nationalisms*.
- Lowe, L. (1996), *Immigrant Acts*.
- Lye, C. (2004), *America’s Asia*.
- Nguyen, V.T. (2003), *Race and Resistance*.
- Palumbo-Liu, D. (1999), *Asian/American*.
- Wong, S-L.C. (1993), *Reading Asian American Literature*.

Author

RYAN JAMES KERNAN

The author has been traditionally understood as the sole originator of the written work, as the figure possessed with the vision, creativity, intellect, experience, knowledge, and skill requisite to combine all of these

factors into a literary medium. Conceived within this paradigm, the author, as both creator and controller, inscribes her or his text with an inviolable authority and authenticity. Authority is a function of his ownership of the idea, and authenticity derives from the author's unique position as the ultimate authority on the meaning or truth of his text. This notion of the author—sometimes labeled as humanist because it posits the classical Cartesian unitary subject as the work's originating consciousness—has occupied a relatively stable position in the history of modern thought and is still not without its proponents and apologists.

A HISTORY OF THE TERM

The word *author* and its predecessor *auctor* were interchangeable when the former first came into usage in the Middle Ages and referred either to a writer who was considered to be a source of authority or to an “author” who wrote in strict adherence to an established expert. Every discipline in the trivium had *auctores* that established its founding rules and principles (Cicero in rhetoric, Aristotle in dialectic, the ancient poets in grammar). The same was true for the quadrivium (Ptolemy in astronomy, Constantine in medicine, a God-authored Bible in theology, Boethius in arithmetic). The scribe's good reputation rested on his ability to interpret or explain problems in terms that both reified the ideas of these *auctores* and sanctioned the moral and political authority of medieval culture. With the decline of feudalism and its cultural constraints in the fifteenth century, the term “author” became increasingly associated with its current usage, referring to the figure responsible for the creation of literary works. Nevertheless, the “author” remained the beneficiary of the esteem formerly ascribed to *auctores* well into the

early twentieth century, and, with the consolidation of COPYRIGHT laws, was frequently the financial beneficiary as well.

NEW CRITICISM AND RUSSIAN FORMALISM

Beginning in the 1920s, New Criticism and Russian FORMALISM began to challenge the traditional, or humanist, notion of the author. Critics from these camps refuted the idea that the author could understand his own work as comprehensively as could a trained critic and denied the centrality (and even the importance) of the author's implicit or explicit intentions to an authoritative interpretation of the text (see EDITING). For example, the American New Critics W. K. Wimsatt and Monroe Beardsley not only argued that “the design or intention of the author is neither available nor desirable as a standard for judging the success of a work of literary art” but also that the “demotion” of the author's intention was indispensable to the work of literary criticism (1946, “The Intentional Fallacy”). The New Critic's task was to scrutinize the textual level of the “autonomous” or “autotelic” literary work—to examine the “internal evidence” of “the work itself.” Similarly, the leading exponents of Russian formalism such as Boris Eichman, Roman Jakobson, Viktor Shklovsky, Boris Tomashevskii, and Yury Tynianov saw the literary work as an object distinct from both its author and his society. Their critical methodology primarily concerned itself with “literariness,” a quality that they saw as both the distinguishing feature of literature and the exclusive property of the text's artistic devices.

STRUCTURALISM

With the advent of STRUCTURALISM and the concomitant notion that the source of

meaning is not in an individual's experience but rather in the patterns, IDEOLOGY, and systems that govern culture and language itself, the author's position in literary criticism became still more decentered. The structuralist claims that language "speaks us" and provides the subject with only the illusion of autonomy led to a widespread conception of the text as an embodiment of culture. For example, structuralist-MARXIST Louis Althusser's seminal essay "Ideology and Ideological State Apparatuses" (1971, in *Lenin and Philosophy and Other Essays*) rejects the notion that a work's author can be its final guarantor of meaning. This is the case because writers (like all individuals) internalize and act in accordance with what Althusser labels ISAs, or Ideological State Apparatuses. These institutions generate the ideologies in which we come to believe, but also produce "distortions" that cause us to misrecognize or to misrepresent ourselves as self-realized human beings unalienated by the machinery of capitalism. Hence, literary and scientific efforts to authoritatively portray "existence" are necessarily plagued by the fact that texts do not represent "the system of the real relations which govern the existence of individuals," but rather "the imaginary relation of those individuals to the real relations in which they live."

POSTSTRUCTURALISM

Perhaps the most famous challenges to the traditional notions of the author and his relationship to textual authority come from the poststructuralist critique contained in Roland Barthes's "The Death of the Author" (1968). Barthes's essay refutes the very idea that the author is the source of the text by, in part, arguing that AUTHORSHIP—a concept traditionally associated with the author's legal right to the work—is a multidimen-

sional space where the demands of language, discourse, and tradition collide. The author, or Barthes's scriptor, is therefore best conceived of not so much as a creator but rather as a rearranger of nothing less than the whole of writing, and the text's unity is not to be sought in its origin (with him) but in its destination (in the domain of the READER). Hence, corollary to the "death of the author," Barthes's "readerly text," and the critical "tyranny of the God author" are the "birth of the reader," his "writerly text," and a continuing allowance for openness of interpretation. The reader is positioned as actively engaged in a creative process that creates the text anew, while the residue of authority lies with the literary critic.

Several of the tenets that underpin Barthes's argument "to kill the author" find deconstructionist predecessors in ideas set forth by Jacques Derrida in *Of Grammatology* (1967) and have been embraced in the works of several other notable critics like Edward Said (1975, *Beginnings*) and J. Hillis Miller (1982, *Fiction and Repetition*). Nevertheless, "The Death of the Author" did not escape its poststructuralist critiques and Michel Foucault's "What is an Author?" (1969) is arguably the most notable among them. Foucault does not see the author as the creator of the text but rather as the construction of discourse—where discourse is understood to be a body of thought and writing united by a common object of study, a common methodology, or a set of common terms and ideas. The author exists as a product of the text, while the text exists as part of a wider discourse in which the author is also said to be included (or, more precisely, to be a function within). Since the author continues to play a crucial part in the material life of culture—Foucault hypothetically argues that the disappearance of the author would (among other things) eliminate the warrant for criticism and prove devastating to the idea of the work—he cannot be dispensed with in the manner Barthes

prescribes. Rather, the “author function” must be accounted for as “the ideological figure by which one marks the manner in which we fear the proliferation of meaning,” and the remnants of the traditional understanding of the author are best ascribed to figures that Foucault labels “fundamental authors,” figures like Freud or Marx whose writings can be said to found discourses and disciplines that are discontinuous with previous ones.

TRADITIONALIST OBJECTIONS TO THE POSTSTRUCTURALIST CHALLENGE

Traditional critics (neo-Aristotelian, biographical, historical, and formalist) have raised strong objections to the “death of the author” and the denial of the “author function,” generally arguing that the concept of the author checks against the unmitigated multiplication of textual interpretations, especially ones competing or contrary. E. D. Hirsch is among the most conservative, and posits that there can be one and only one “valid interpretation”—that which captures the author’s meaning (1973, *Validity in Interpretation*). Thinkers who have “banished the original author” only to then have “usurped his place” are, for Hirsch, guilty of leading literary criticism “unerringly to some of [its] present-day confusions” concerning canonical texts and textual authority itself.

THE IMPLIED AUTHOR

Several critics who have challenged both the validity of biographical criticism and New Criticism’s eradication of the author have focused increased attention on the idea of the implied author (James A. Parr being among the most prominent), building on

the work of Wayne C. Booth, whose *Rhetoric of Fiction* (1961) first set forth the term. The implied author is the real author’s “virtual” or “second self,” a figure discernible by readers who (in Booth’s estimation) will always infer the existence of an author behind any text they encounter. This “second self” consciously and unconsciously chooses what we read but is also the “ideal, literary, created version of the real man . . . the sum of his own choices.” In this sense, the implied author is an amalgam (usually composed of: the narrator created by the real author, the virtual author created without the real author’s private bias, a particular side of the author in a given work, the whole group that made or effected the work, and the “core of norms and choices” that govern a work’s style, tone, and technique).

For example, Parr—who prefers to use the designation “inferred author” instead of “implied author”—argues that the “inferred author” of Miguel de Cervantes Saavedra’s sequel to *Don Quixote* (1605, 1615) adopts a consistent attitude of “festive mockery,” despite the cacophony of narrative voices that inhabit the work’s paratextual prologues as well as its chapters (see *METAFICTION*). This cacophony is not only the result of the fact that the narrator of *Don Quixote* qualifies the text as a translated history written by the fictional character Cide Hamete Benengeli, but also the result of an unusual literary twist surrounding the work’s appearance in print. Cervantes was outraged by an unidentified Aragonese author who published a work entitled *Second Volume of Ingenious Gentleman Don Quixote of La Mancha: by the Licenciado (doctorate) Alonso Fernandez de Avellaneda of Tordesillas* in September 1614, and he responded by writing elements of the book into his own sequel. Thus in Cervantes’s text, Don Quixote and Sancho Panza kidnap one of Avellaneda’s main characters and also overhear talk of Avellaneda’s pirated version of

their adventures: “Believe me, your graces,” said Sancho, “the Sancho and Don Quixote in that history are not the ones who appear in the history composed by Cide Hamete Benengeli, the ones who are us: my master is valiant, intelligent, and in love, and I’m simple, amusing, and not a glutton or drunkard.” The “implied narrator” of the above passage offers the reader a voice that Cervantes created, that presents a certain sardonic side of the author, and that is also the product of an (albeit small) group that effected the work; while Sancho’s objections to the inaccuracies contained in “that history” point to another “implied narrator” whose work is governed by a separate and distinct “core of norms and choices.”

CONTEMPORARY RESTORATIONS OF THE AUTHOR

Current theorists working in the fields of minority studies, feminism, queer theory, and postcolonial studies have posed some of the most serious challenges to the poststructuralist displacement of the author’s status as the unmediated consciousness at the origin of a work (see RACE, FEMINIST, QUEER). These challenges often concern themselves with how systems of oppression (including critical approaches to literature, aesthetic conventions, and language itself) operate to erase particular voices or identities, as well as with how texts can be inscribed with distinct minority outlooks or perspectives. For example, the French feminists Luce Irigaray and Hélène Cixous have both argued that woman must “write herself” into language to redress the inequities produced by the fundamentally patriarchal foundations of language and literature. Prominent critics like Houston Baker argue that the “deep aspects of culture” inscribed in African American literary texts are predicated on the “culturally specific values and experiences” of black

authors. In a similar vein, the postcolonial subject’s aspiration to affirm a speaking- and writing-self—one whose unique interiority is meant to represent an oppressed (or formerly oppressed) collective—is necessarily invested in the preservation of a certain relation between author and text.

SEE ALSO: Frame, Genre Theory, Intertextuality, Life Writing, Narrative Perspective, Publishing, Translation Theory.

BIBLIOGRAPHY

- Abrams, M.H. (1977), *Mirror and the Lamp*.
 Baker, H. (1976), “On the Criticism of Black American Literature,” in *Reading Black*.
 Barrett, M. (1980), *Women’s Oppression Today*.
 Burke, S. (1992), *Death and Return of the Author*.
 Cervantes Saavedra, M. de. (2003), *Don Quixote*, trans. Edith Grossman.
 Cixous, H. (1976), “The Laugh of the Medusa,” *Signs* 1(4):87593.
 Erlich, V., ed. (1975), *Twentieth-Century Russian Literary Criticism*.
 Harari, J., ed. (1979), *Textual Strategies*.
 Madan, S. (1989), *Introductory Guide to Post-Structuralism and Postmodernism*.
 Minnis, A.J. (1984), *Medieval Theory of Authorship*.
 Parr, J. (2005), *Don Quixote*.
 Spivak, G.C. (1993), *Outside in the Teaching Machine*.
 Todorov, T. (1980), “Reading as Construction,” in *Reader and the Text*.

Authorial Intention see Editing

Authorial Narrator see Narrator

Authorship

GEOFFREY TURNOVSKY

What is an author? Michel Foucault posed the question in the title of a now classic lecture delivered in 1969 to the *Société française de la philosophie*, calling it “slightly

odd" (1977, "What Is an Author," in *Language, Counter-Memory, Practice*, ed. D. Bouchard).

Given how influential the essay has become, it is today more likely to be this characterization itself which strikes us as strange. Perhaps, though, Foucault was identifying less the question's originality—others had asked it before him—than its underlying paradox, which is that it interrogates a concept whose force lies largely in its goes-without-saying aspect. In his lecture, he addressed two criticisms of his recent study, *Les mots et les choses* (1966, *The Order of Things*), which had taken him to task, first, for inaccurately representing the ideas of specific intellectuals, say Buffon or Marx; and second, for creating "monstrous families" through unconventional groupings of writers. He articulated surprise not at these criticisms per se, with which he did not disagree, but at a blind spot in his own reflection to which they pointed. For *The Order of Things* set out to track broad shifts in cultural discourses; it was not concerned with conveying the thought of any individual or the coherence of a group of thinkers. By invoking names, Foucault attracted criticism that was, in his view, quite beside the point. Yet he had cited them anyway, without a thought to their potentially errant meaning in the context. Why? "[W]hy did I use the names of authors in *The Order of Things*?" he asked (114). The lecture, at one level, thus sought to account for a reflex that Foucault had himself neglected to control: How, why, and when did the author become such an automatic and instinctive point of reference for evoking ideas, concepts and stories?

Foucault's question played up the historical contingency of an ideal whose self-evidence had endowed it with a "natural" quality. Foucault argued that authorship reflects a decisive shift in our conceptualization and valuation of texts, one by which a

text comes to acquire its principal meaning and value through its association with a single person who stands "outside and precedes it" (115), and to whom the text points. Foucault's lecture enumerated what he took to be the key characteristics of "authored" texts, and scholars have since picked up on the central themes that he laid out. They have, in addition, been drawn to how authoriality transforms not just the texts but the individuals associated with them, individuals who will be defined as they were defined in Antoine Furetière's famous seventeenth-century dictionary: "authors: it is said of all those who have brought to light some kind of book" (1690, *Dictionnaire*). Furetière's definition suggests an obvious answer to Foucault's question. However, the ways in which a person's identity might be constituted by a primary relationship to a book, considered in all of its legal, political, economic, social, cultural, and aesthetic dimensions, opens up a range of complex issues, which the study of authorship addresses. To ask "what is an author" is to interrogate the nature of intellectual authority and freedom of expression; it is to ask about the meaning of originality, and about the role of writer in society, among other pressing questions.

AUTHORSHIP AS LEGAL APPROPRIATION

For Foucault, an "authored" text is, first of all, an "object of appropriation," that is, owned by an individual and, as a result, subject to legal control. We can understand such control in a variety of ways. It might refer to the surveillance of writers in new CENSORSHIP regimes associated with the formation of centralized states in early modern Europe, and with the desire to regulate the circulation of print, especially after the transformative role played by the moveable type

press in the rapid dissemination of Protestantism (see *TYPOGRAPHY*). In this view, authors emerged to the degree that political and religious authorities needed individuals whom they could make responsible—and punish—for the existence of heterodox tracts. Official book-trade regulations from the sixteenth and seventeenth centuries do indeed insist that the writer's name, along with that of the printer/publisher, be highlighted on the title page of each copy; and it is plausible that such legislation “invented” a new type of intellectual identity based on the strict association of an individual to a written (and printed) text (see *PUBLISHING*).

Such stipulations were, however, systematically flouted, with the result that anonymity proved to be a widespread and acceptable authorial mode in the Old Regime intellectual field. La Rochefoucauld or Madame de Lafayette would clearly headline any list of the “great French authors of the seventeenth century.” Yet both refused to attach their names to published works, which circulated openly nonetheless. We might ask if the ordinances controlling the circulation of print articulated new concepts of authorial identity in the effort to monitor and control subversive writing, or if conversely, they simply sought to bring into their purview practices that had previously evolved outside of its purview. The question is certainly difficult to resolve; it is perhaps one of the defining traits of authorship that the relationship it posits between the writer and the authorities enforcing political order would always remain so ambiguous.

An alternative view of “appropriation” considers the author not as the effect of the regulation of print but as the outcome of new legal conceptions of personal rights and freedoms. The author is conceived as the “owner” of texts, a status affirmed in principles of literary or intellectual property

which—whether formally codified in law or simply followed in custom—recognize the work, and the value of the work, to be functions of an individual's efforts and originality. Rather than censorship trials or print-trade decrees, this author appears historically as an interested party in lawsuits against counterfeiters or in contentious negotiations with printers over payments, where his or her litigiousness and commercial savvy are taken to reflect an underlying, defining desire for autonomy. At first glance, this is the independence of the professional seeking to make a living without having to rely on traditional forms of aristocratic and royal patronage, which are presumed to impose constraints on the writer's free expression by forcing deference before social rank. In this respect, the story of the writer's growing capacity to “live by the pen” is simultaneously construed as an account of intellectual liberation, one that tightly correlates the rise of an entrepreneurial mode of authorship with the development of the writer as a freethinking and un beholden critic.

The proprietary model has been influential for studies focusing on England, in part due to what is normally considered to be the earlier commercialization of the English literary field in the eighteenth century. It could, of course, be argued that the literary field has always been commercialized, and in fact, a great deal of fruitful recent scholarship has shown that writers were intervening in the commercial production of their works from the earliest years of the printing press. The question is then less about the appearance of opportunities for professionalization through the sale of works, than about the ways in which writers availed themselves of opportunities that had long existed. Decisive for the English case was the willingness of established figures to become directly involved in the commercial publication of their writings, and moreover,

to incorporate—rather than conceal—this involvement into their self-justifying authorial discourse as a clear sign of their independence, bringing their accumulated symbolic capital to bear on the rhetorical move. When his translations of Homer's epics proved to be a tremendous financial success in the 1720s, earning him an unprecedented payday, Alexander Pope (1688–1744) did not play down his earnings from the enterprise but highlighted them as linchpins of a newfound intellectual liberty, “Indebted to no Prince or Peer alive,” as he wrote (*Imitations of Horace*, Epistle 2:2).

Correlatively, if the situation in France has, in the eyes of scholars, always seemed to lag behind Britain, it is to some extent because we must wait until the late eighteenth and even the nineteenth century before we find well-known writers ready to build their identities on the basis of their engagements with the print trade, as income earners and holders of intellectual property rights. Until then, such contacts were stridently negated, surfacing in authorial discourse only insofar as they were repudiated in “anti-professional” gestures—refusing payments and affecting disinterest before the possibilities offered by the commercial press—which conveyed the elite honorability of the writer. Even those figures that we normally associate in France with the “autonomy” of the modern intellectual, namely Enlightenment-era *philosophes* such as Voltaire (1694–1778) or Jean le Rond d’Alembert (1717–83), remained faithful to older prejudices against the involvement of the writer in literary commerce. Only when the iconic playwright Pierre Beaumarchais (1732–99) rallied in favor of better pay for the dramatic authors producing for the *Comédie française* in the 1770s by organizing the *Société des auteurs dramatiques* (society of writers of drama), is the “revolution of authors” thought to have arrived in France.

AUTHORSHIP AS WORK

Such an assessment construes Beaumarchais's engagement with the authorial condition to be spurred primarily by the ideal of the independent professional, although, as Brown argues, his polemics suggest that it was in fact driven by a desire not to liberate writers from an Old Regime political and social hierarchy in which he had an enormous amount at stake (as a financier and sometime agent of the French monarchy), but to renegotiate their status within that system. It also sidesteps the fact that, if the strongest claims to proprietary authorship in eighteenth-century France did not come from the Gallic equivalents of Pope, Samuel Johnson, or Daniel Defoe, they do exist in two other sources, both of which highlight key problems for historical accounts of the author. For one, we find them in the pamphleteering of second-tier writers who decried the “tyranny” of profiteering publishers in forceful, angry claims. Insofar, though, as they emanated not from the reasoned engagement of heavyweights but from the brute survival struggles of obscure figures and, in particular, out of their failures and hopelessness rather than their triumphs, these interventions have not captured the imaginations of scholars loath to elevate unheralded and often bitter writers—the lawyer and polemicist Simon-Nicolas-Henri Linguet (1736–94) is one of the better known—as heroes in the fight for authorial rights.

More significantly, perhaps, we also find early reflections of the proprietary author in the legal arguments of the Printers' and Booksellers' Guild of Paris, which, from the 1720s, increasingly questioned the *privilege* system by which the book trade had long been regulated. Bestowing on publishers short-term monopolies to print and sell particular works, privileges had been issued

since the early sixteenth century to help publishers recoup their investments in an industry characterized by high upfront costs (in the Old typographical Regime, paper accounted for the largest production expense; see PAPER AND PRINT). Moreover, as the word suggests, privileges offered exemptions from a general rule, granted by the liberality of the King. The Guild maintained, however, that the “rights” conveyed by privileges were not rooted in monarchical goodwill but were based in natural law which stipulated that publishers buying works in free transactions from their writers properly owned these works, since those who had applied their labor and originality in creating them had a basic prerogative to transfer possession to whomever they chose. As such, the rights of publishers could not be limited, as were traditionally the protections offered by the privilege. In this framework, the author takes shape as a philosophical construct serving the Guild’s Lockean arguments in favor of permanent rather than temporary property rights. The concept functioned, moreover, as a rhetorical device infusing the publishers’ cause with moral urgency. For, they claimed, at stake was not merely the profitability of merchants but more saliently the intellectual health of the nation, since without permanent rights, great thinkers could not be adequately paid and would therefore not produce the works that brought glory to the kingdom.

Such rhetoric was central as well to the petitions of English printers, who mobilized after the lapse in 1694 of the Licensing Act that had granted the London Stationers Company a virtual monopoly on printing in England (it had been regularly renewed throughout the seventeenth century), formulating some of the clearest depictions of the independent professional writer to be encountered in eighteenth-century Europe. These images were, of course, opportunistic

and fictitious, bearing little relation to any recognizable reality experienced by writers living off eclectic sources of income and protection. Nonetheless, it formed the basis for powerful mythologies of the author as a new type of intellectual, which marked a sharp break with earlier models of the writer, whose identity was more likely to be articulated in and through integration into an aristocratic world of leisure. Construed now in terms of their position within a commercial production system, authors were valorized by their work, which ought to command the compensation paid for other forms of industry: “The most common artisan . . . in his trade lives from the labors of his own hands. Why do the labors of intelligence, works of genius, not provide the same advantages . . .?” asked one French pamphleteer in 1770 (Charles-Joseph Fenouillot de Falbaire, *Avis aux gens de lettres*, 37–38). In the new mode, writers ceased to downplay their creations as trivialities thrown together in haste for the sole purpose of elite entertainment and instead emphasized their efforts, struggles, and sacrifice.

AUTHORSHIP, ECONOMIC STRUGGLES, AND MORAL TRANSCENDENCE

Images of writers’ tireless labors and economic hardships were fundamental to the property argument. They were also central to the paradoxical nature of authorial professionalism. In the pro-author polemics, “literary property” was often presented as, in a way, more proprietary than other forms of ownership, that is, a zero-degree form, which if denied called into question all rights, including to land and to the products of physical labor. In a complex 1763 text written for the Parisian Guild in their legal battles against the royal administration, Denis Diderot wrote:

What is the good that a man can possess, if a work of intellect, the unique fruit of his education, of his studies, of his sleepless nights, of his time, of his research, of his observations, if the most precious hours, the most beautiful moments of his life, if his own thoughts, the feelings in his heart, that part of him which is the most cherished, which never perishes, and which immortalizes him, does not belong to him? (*Lettre sur le commerce de la librairie*)

He went on to ask: “Who has a greater right than the author to transfer his work by gift or sale?” Ostensibly advancing the Parisian publishers’ case for permanent rights to intellectual property, Diderot was in truth demonstrating the unsaleability of a “good” that embodied not just labor and raw materials but the thought and soul of its creator. While certainly no government could contemplate curtailing the individual’s proprietary claim to his or her own mind, imagination, and being, by the same token, what writer could contemplate selling these “most cherished” parts of him or herself?

As one of the more powerful figurations of the modern intellectual, the proprietary author has always been traversed by the contradiction of being defined by an autonomy that rested on what was, at the end of the day, an impossible act—selling his or her work—which freed the writer from dependency on nobility, yet instantly discredited him or her as a crass mercenary. The paradox invites us to rethink the proprietary claims on which modern authorial independence has been based. We assume that they were advanced in good faith, seeking validation in legal rights and payments from publishers. But the claims were always far more equivocal, because ultimately the last thing that the writer wanted was for them to be granted and to receive a decent return commensurate with his or her evolution as a full-fledged “professional.” If the modern

author’s birth can be discovered in the claims of writers to the same rights and entitlements enjoyed by anyone who has to work for a living, it is only to the extent that, unlike with “normal” workers, these claims are inevitably rebuffed, most of all by greedy publishers who refuse to pay a fair price. The pursuit of intellectual autonomy through the profitable sale of literary works thereby elevates the writer as the voice of a new authority to speak the truth only so long as the effort ends in failure. The author thus emerges not in legal or economic victories, but as the outcome of a more complex conceptual development whereby an expectation of rights and income becomes established, widespread, and accepted as just, whereas the reality of such remuneration does not. The author is defined by the tension, manifest in the inequity of his or her situation.

Images of the writer’s “exploitation,” which articulate both the rising expectations and the disappointing reality, and in particular the sharp discrepancy between the two, proliferate as key figurations of the ambiguity of the authorial condition. They reflect various themes, including the notion that the author was born of a demographic crisis in the eighteenth century caused by a spike in the desirability of the vocation. Samuel Johnson’s 1753 reference to the “Age of Authors” describes the glut in terms of an “epidemic conspiracy for the destruction of paper” (*Adventurer* 115, 11 Dec. 1753). At the same time, the images point to the singularity of the individual whose dedication in such adverse circumstances manifests an extraordinary nature, characterized by disinterest and painful sacrifice. Exemplified by Alfred de Vigny’s romantic portrayal of Thomas Chatterton in his successful 1834 play, the writer suffers for a greater cause, choosing deprivation, poverty, and in a supreme gesture of sacrifice, his or her own death in order to

ensure the integrity and truth of the work. The author stands as a transcendent figure, as described by Paul Bénichou, who explores the “consecration of the writer” in the Romantic period. With the decline of the Church’s power in the late eighteenth century, Bénichou argues, it was the writer who filled the vacuum, taking on a secular priestly function by tending to the spiritual wellbeing of the people.

In this view, authorship describes not just a specific activity—writing books—but also the moral qualities of the person engaged in it. We might propose that authorship imbues the activity of writing books with a moral disposition, and conversely links an ethical outlook with an intellectual practice construed as especially apt for its articulation. One becomes an author to the extent that, in putting pen to paper (and publishing the resulting text), one stakes a claim to righteousness and takes responsibility, for instance, by standing behind the work rather than cowering behind a veil of anonymity. By the same token, the rise of the author reflects the appropriation of writing—and the book—as the most suitable media for expressing basic truths about the self. It might be added that, in a modern authorial regime, these truths are assumed to be generally positive ones—writing books is a privileged means for communicating an individual’s intelligence, depth, honesty, goodness, and insight. Yet this was not always the case in the early modern era. Montaigne’s modernity in so identifying himself with his own book contrasts starkly with another tradition, according to which a published book casts suspicion on its writer, in as much as it reflects the pride or self-importance of the person who, believing it deserves such monumentalization, wants to see his or her writing in print. Nicolas Boileau advised aspiring poets, in his *Art poétique* (1674): “Rid yourself . . . of authorial arrogance.”

AUTHORIAL INDIVIDUALISM

Either way, the association of book writing with a certain temperament and character highlights the way in which authorial discourse isolates the individual, as Foucault noted. This authorial individualism has been critiqued in recent scholarship from a number of angles. Adrian Johns and Robert Darnton have contested the status of the “author” as the sole source of a text’s meaning by exploring the larger social and commercial dynamics in the context of which the author stands as merely one agent within a diverse group of artisans, merchants, and businesspeople as well as censors, patrons, and bureaucrats. Pierre Bourdieu’s theory of the “cultural field” similarly maintains that the value associated with authors (as well as with artists) does not emanate “charismatically” from their peculiar genius, but is constructed in an extended network of agents, dealers, publicists, and critics (we might add entertainment and media corporations, advertisers, and so on), all of whom contribute to the “production of belief” in this value (1993).

In fact, Voltaire anticipated such analyses in a 1733 letter to a government official, a text that has been celebrated as an early call for press freedom in France. Voltaire attacks censorship by focusing on the economic costs of banning books, which are then published abroad to the benefit of Dutch, Swiss, or English printers. To illustrate the point, he enumerates the potential beneficiaries of press freedom in France who lose out, including the author (he is speaking particularly about the authors of “bad novels”), but only as one among many sustained by the book trade, along with the foundry worker, the printer, the papermaker, the binder, and the wine merchant, “to whom all of these bring their money” (“Lettre à un premier commis,” 20 June 1733). Such contextualization

demystifies the ideal of the singular author; but it does miss a key aspect of the latter's logic (pursuing a different agenda, Voltaire was of course not attempting to characterize this ideal). Namely, the singularity of the figure is not the result of ignoring the reality of the broader cultural market but manifests instead an intensifying awareness of the commercialization of literary life. As an articulation of modernity, the transcendent view of the author is from the beginning an engagement with the writer's immersion within a larger industrial operation, one that plays out, however, in a staunch resistance to this immersion which, in opposition to it, upholds the author as the sole possible source of the work's value, while in the process subordinating all the other agents and mechanisms of the book trade before the primacy of this source, to the point where these agents and mechanisms are called upon to disappear.

"[I]n a right order, the Publisher is made for the author and not the author for the Publisher," wrote Pierre-Jacques Blondel in a 1725 pamphlet, "Mémoire sur les vexations qu'exercent les libraires et imprimeurs de Paris." In a 1785 article appearing in the *Berlinische Monatsschrift*, Immanuel Kant (1724–1804) downscaled the role of publishers to that of a "silent instrument" that merely allows the writer's discourse to reach the public ("Von der Unrechtmässigkeit des Büchernachdrucks"). Their function is defined negatively not positively, with their most essential contribution being to stay out of the way and not impede, obstruct, or distort the author's discourse. Authorship, in this respect, amounts to a constant effort of pushback. For a writer becomes an author to the extent that he or she engages the publication process through a tremendous anxiety about how his or her work might be altered in the course of its transformation from manuscript into printed edition

and assumes throughout a defensive posture of vigilance and resistance to potential changes. Authorship in turn reconfigures the book trade by narrowly identifying it in terms of the production of a writer's work. In other words, the fundamental unity of the publishing industry will, in the authorial framework, be tied to its effectiveness in disseminating not "books"—whether this term refers to material objects (say, books as luxury items) or to vessels of information and knowledge—but the words, ideas, feelings, and moral outlook of a particular, culturally esteemed category of person. The portraits of James Joyce, Toni Morrison, Edith Wharton, and others that adorn the walls of Barnes and Noble bookstores reaffirm such a vision of the book trade (illustrating as well the degree to which, like the "proprietary author," it can be co-opted for commercial interests), even as these larger-than-life images can be associated with only the tiniest fraction of the merchandise sold in the stores.

Another critique of authorial individualism, what Martha Woodmansee has called "the author effect," focuses not on the diverse agents engaged in the production of a book but on the multiplicity of contributors who might be involved in the composition of a single work. The modern notion of authorship resists collaboration, a practice that, in its various forms (co-writing, compiling, ghostwriting), has not only played a crucial role in the history of writing and print, but which, again, accounts for a far greater proportion of publications than those to which a transcendent concept of authorship might be attached. Nonetheless, the "singular relationship" between writer and work at the core of the definition of authorship is construed as a necessary and exclusive one. An author is not just someone "who writes a book," to recall Furetère's phrase, but one who, in being named on the title page, advances a claim to being the

one and only individual who *could have written* it.

AUTHORSHIP, GENDER, AND THE NOVEL

The focus on authorial singularity and collaboration has particular implications for GENDER effects. Joan DeJean has explored how the sociable, interactive ambience of the seventeenth-century salon was conducive to women's writing. The modern authorial regime, conversely, built on individual legal and economic rights that historically women could not unproblematically claim, was certainly less amenable. Rousseau's affirmations of his authorship play out in combative letters with his publishers; but writers such as Françoise de Graffigny and Isabelle de Charrière had less access to such media, having to rely on male intermediaries in dealing with their editors (see EDITING). They could not as a result assert themselves in the same ways. Inasmuch as it articulated a shift from private to public sphere, from interactive to solitary intellectual practices, and from social to commercial circulation, authorship, in the framework of the eighteenth and nineteenth century, defined an a priori male identity, more so in any case than various earlier models of the writer, such as that exemplified by the salon-based "novelists" (referring to the Old Regime prose-fictional forms *romans* and *nouvelles*) Madeleine de Scudéry, Lafayette, and the Duchesse de Montpensier. And if, ultimately, more and more women sought to make a life in literature as the Old Regime cultural establishment collapsed with the Revolution of 1789, as Carla Hesse (2001) has shown, they did so in the face of new kinds of obstacles which, while perhaps less CLASS-determined (clearly, some type of elite social integration was a precondition

for female writing in the seventeenth century), were more specifically gendered.

What is the author of a novel? The issue of gender opens onto this question since long and short prose narrative forms were privileged GENRES for women's writing in the early modern literary field. The novel would also become a privileged mode for the author. Indeed, by the nineteenth century in Europe, it was the unrivalled instrument for communicating the profound insights and moral vision of an individual. How prose fiction evolved from a non-canonical form tied to the intimate, exclusive conversations of an aristocratic clique to the dominant medium through which an intellectual and a secular spiritual leader spoke to a broad public is well beyond the purview of this entry. It is notable, however, that the "rise of the novel" and the "birth of the author" in the seventeenth through the nineteenth century always remain in close parallel.

SEE ALSO: Copyright/Libel, History of the Novel, Religion, Reprints, Reviewing

BIBLIOGRAPHY

- Bénichou, P. (1973), *Sacre de l'écrivain*.
 Bourdieu, P. (1992), *Règles de l'art*.
 Bourdieu, P. (1993), *Field of Cultural Production*.
 Brown, G. (2006), *Literary Sociability and Literary Property in France, 1775–1793*.
 Chartier, R. (1992), *Ordre de livres*.
 Darnton, R. (1982), *Literary Underground of the Old Regime*.
 Dejean, J. (1984), *Tender Geographies*.
 Denis, D. (2001), *Parnasse galant*.
 Greene, J. (2005), *Trouble with Ownership*.
 Habermas, J. (1995), *Structural Transformation of the Public Sphere*.
 Hesse, C. (1991), *Publishing and Cultural Politics in Revolutionary Paris*.
 Hesse, C. (2001), *Other Enlightenment*.
 Johns, A. (1998), *Nature of the Book*.

Lahire, B. (2006), *Condition littéraire*.
Loewenstein, J. (2002), *Author's Due*.
Rose, M. (1993), *Authors and Owners*.
Russo, E. (2007), *Styles of Enlightenment*.
Turnovsky, G. (2009), *Literary Market*.
Viala, A. (1985), *Naissance de l'écrivain*.
Woodmansee, M. (1994), *Author, Art, and the Market*.

Woodmansee, M. and P. Jasz, eds. (1994),
Construction of Authorship.

Autobiography *see* Life Writing

Avant Garde Novel *see* Surrealism / Avant
Garde Novel

B

Bakhtin, Mikhail

PETER HITCHCOCK

Mikhail Mikhailovich Bakhtin (1895–1975) has emerged as a major analyst of the ways we understand culture in general and the novel in particular. Rediscovered in Russian intellectual life in the late 1950s, he has since become a significant touchstone in cultural analysis. While he lived in relative obscurity in the Soviet Union in his middle years, by the end of his life Bakhtin had achieved a major reputation in thinking about GENRE, DISCOURSE, TIME and SPACE, ethics, and historical poetics. Some of the terms we associate with his work, such as chronotope, dialogism, the carnivalesque, the grotesque, architectonics, exotopy, heteroglossia, and eventness have become influential keywords in contemporary critique. With conferences, journals, institutes, and a large body of secondary material devoted to his work, Bakhtin has become an iconic figure in writing and research in the humanities, but not one who is beyond controversy and heated academic dispute. For instance, there has been much disagreement over Bakhtin's authorship of several texts by Ivan Ivanovich Kanaev (1893–1963), Pavel Nikolaevich Medvedev (1891–1938), and Valerian Nikolaevich Voloshinov (ca. 1894–1936), associates of what would become known as the Bakhtin Circle. This is not the place to enter this debate, but clearly

the attribution in particular of *Formalny metod v literaturovedeni* (1928, *The Formal Method in Literary Scholarship*) by Medvedev and *Marksizm i filosofiya yazyka* (1929, *Marxism and the Philosophy of Language*) by Voloshinov to Bakhtin extends and deepens the critical range of his interests. There is also evidence Bakhtin plagiarized Ernst Cassirer (1874–1945), among others, for his book on Rabelais, although for the most part this has not hurt Bakhtin's burgeoning reputation (Poole).

Bakhtin was born in Orel, south of Moscow but, because his father was a bank executive who was transferred frequently, the family moved frequently during his youth before he began attending St. Petersburg (Petrograd) University in 1914. A classicist, Bakhtin became well-versed in the main currents of Western philosophy, and was caught up in the revolutionary fervor of the time primarily because of the philosophical issues it raised. In Nevel and then later Vitebsk (both in what is now Belarus) Bakhtin associated with a number of critical young thinkers, including Voloshinov, Medvedev, and Lev Pumpianski (1891–1940), and engaged in vital discussions that would inform his worldview for the rest of his life. Some of these debates turned on what was appropriate to the revolutionary period; some, like the centrality of Neo-Kantianism, were more abstract in nature. Bakhtin married in Vitebsk and

returned to Petrograd/Leningrad in 1924. By 1929 he ran afoul of the new authoritarianism and intolerance in Soviet life and was accused of working for the Russian Orthodox Church. His sentence, ten years in the Solovetsky Islands labor camp, meant certain death, but because of the intervention of friends and his poor health (Bakhtin suffered from osteomyelitis, a bone disease that would eventually require the amputation of his right leg in 1938) he was “granted” six years of internal exile in Kazakhstan.

Bakhtin had his first academic appointment in 1936 at Mordovia State Teachers College in Saransk as an instructor in Russian and world literature. Because of the purges and Bakhtin’s unorthodoxy (religion notwithstanding) he maintained a low profile until he defended his dissertation on François Rabelais in 1946 in Moscow but then quickly returned to Saransk, where he taught until his retirement in 1961. Thanks to the diligence of some graduate students who had become followers of his ideas Bakhtin’s last years were notably busy, both with organizing older texts and developing new ideas. He died in Moscow from emphysema in 1975.

Not all of Bakhtin’s concepts are focused on the novel (he is as much a philosopher of I and Other as anything else), but the novel was an important fulcrum in his thinking and his contributions to the study of the novel are inestimable. Even in his early philosophical essays, some of which are collected in *Art and Answerability* (1990) and *Toward a Philosophy of the Act* (1993), Bakhtin reveals a trenchant commitment to the novel’s possibility as a preeminent mode of human expression. Yet these works also display a thinker concerned about matters like AUTHORSHIP and responsibility (aesthetic and social) in general. In part this reflects the influence of neo-Kantianism on Bakhtin’s ideas at that time, particularly the work of Hermann Cohen (1842–1918) and the

Marburg School. But the more Bakhtin considered Being and the substance of the “I” the more his thought suggests not just a philosophical method but also a way of writing and reading. For instance, when considering Bakhtin’s tripartite scheme for identity (I-for-myself, I-for-an Other, an Other-for-me) or the vexed but reciprocal relationship between “author” and “hero,” one is also coming to terms with the connections between writers and readers of texts. Bakhtin does not just urge a laudable responsibility across all of these relations, but a sense of co-participation and co-production in such processes, activities where ideas like “outsideness,” “eventness,” and “unfinalizability” mark the insufficiency of individualist or monadic conceptions of self in what is basically social participation. *Vnenakhodimost* (exotopy, or “outsideness”), in this light, is actually about the importance of perspective in fulfilling the aesthetic work of a text, that it can be completed, as it were, in its interaction with another person, outside, or beyond the text, and certainly beyond the idea of an author as the sole arbiter of that text’s creation. Similarly, “eventness” accentuates both the process of Being as itself an event, something concrete and specific, and the sense that its tempero-spatial coordinates include the participation of another in Being’s formation. Event, therefore, is about co-being, and again this is consistent with Bakhtin’s elaboration of authoring. “Unfinalizability” is both about an openness in Being and in what makes a text textual, and as such lies at the root of what we understand from Bakhtin as dialogism, an extension in the possibility of Being dependent on interaction; a dialogue, therefore, that resists and refuses the closure of a final word.

While some critics have attempted to unify all of Bakhtin’s concepts under umbrella terms like “architectonics” or “prosaics,” the elaboration of dialogism in

his work tends to favor an openness to reflexivity, revision and, frankly, contradiction. Bakhtin's major works on the novel include *Problemy tvorchestva Dostoyevskogo* (1929, *Problems of Dostoyevsky's Poetics*), *Tvorchestvo Fransua Rable i narodnaya kultura srednevekoviya i Renessansa* (1965, *Rabelais and His World*), and an incomplete and largely lost manuscript on Johann Wolfgang von Goethe and the *BILDUNGSROMAN*. The English language collection, *The Dialogic Imagination* (1975), while not a book "imagined" by Bakhtin, is also nevertheless a vital expression of Bakhtin's major novelistic concerns. The "disputed texts" meanwhile, provide a materialist understanding of criticism and specific branches of linguistics.

In the book on Fyodor Dostoyevsky, Bakhtin emphasizes the author's spatial prerogatives, the ways in which characters are situated by perspective, by their mutually determining positions in space. At this level, the dialogic refers not just to extant exchanges of dialogue but to the spatial dynamics in which such dialogue becomes possible. Similarly, Bakhtin is less at pains to show Dostoyevsky caught up in an idea of representation but is more concerned to explore how ideas themselves get represented in the novels. This means both respecting authorial intent while also permitting "loopholes" in meaning and existence as that which might escape the traditional dyad of author and character. The result is a reading of Dostoyevsky overdetermined by a multiplicity of possible voices, perspectives in dialogue and disputation gathered up by the term "polyphony." When we think of such voices we must not only consider speakers but conditions, the forces that give multiplicity its materiality at any one moment. The full range of discursive possibility from which polyphony may be drawn is called "heteroglossia" and it is the abstruse profusion of heteroglossia that ensures life in

and through the word. It is unclear sometimes whether Dostoyevsky's work can bear the weight of Bakhtin's conceptual universe and it is useful, therefore, to use the "problems" in the book's title to refer also to the substance of Bakhtin's dialogic paradigm (in a sense, of course, such contention is the very proof of Bakhtin's position).

The book on François Rabelais is looser conceptually but because of the subject is more alive critically. One might say Bakhtin finds in Rabelais a critical condition for laughter as a resource of hope in a world that had seemed to subtend it. This does not mean Bakhtin simply articulates a ribald answer to the dark days of WWII and Stalinism, although that form of resistance is notable, but rather he finds in Rabelais's discursive reverie some important keys to the rejuvenation of public energy. In the ritual overturning and ridicule of social hierarchy, scenes of carnivalesque excess, Bakhtin does not locate revolutionary desire as such, but nevertheless he appreciates deeply its spirit of renewal and the life-giving forms of popular culture in general (see *COMEDY*). Rabelais's attention to the lurid and scatological aspects of French public discourse, themselves subject to Rabelaisian exaggeration and hyperbole, unmasks the prejudices in piety and the connections between privacy and privation. To view this as a bottom-up analysis of the world order would itself be an exaggeration, but Bakhtin usefully elaborates how human excess, an exuberance epitomized by the human body and its processes, reserves the right to question the imposition of right in hierarchical or official discourses. And this, of course, largely defines the terrain of the novel's *raison d'être* and its dialogic inconstancy.

Bakhtin's interest in Goethe in part melds the philosophical and novelistic aspects of his critical method and underlines the fact that his poetics had both a genealogical and

historical import. Without Bakhtin's bildungsroman project we can only conjecture the full extent to which Goethe was influential in his sustained investigations of the novel's potential. Like Rabelais, Goethe, for Bakhtin, was an example of a writer who took from ancient literature a vision of a "fully exteriorized individual" (*Dialogic Imagination*, 136) and placed it on a new plane. The exteriority in question is that of the "popular chronotope of the public square" (135) and the new plane accords with Bakhtin's conception of novelness or novelization. The connection between ancient literature (primarily Greek and Roman texts) and Bakhtin's favorite novelists does not reflect the formal consistency of the novel but is symptomatic of what he believes is its special task: to reveal the limits of any extant literary system and to challenge the nature of its prescriptions. When Goethe refers to world literature it is, for Bakhtin, a worldliness premised on the novel's interrogative propensity; indeed, it renders dialogic worlds. To say this breaks from conventional histories of the novel and formal exegeses would be an understatement (see HISTORY).

But Bakhtin's critical tenacity and idiosyncrasy can make for some practical misadventures. He comes close to hypostatizing the novel by privileging it and, while his resistance to deadening modes of REALISM is refreshing, he wants the novel to do too much work culturally, just as he wants philosophy to do too much spiritually. And, although he might want to avoid the dead ends of character analysis, for instance, the lure of dialogism as dialogue has inspired a generation of critics to do just that, in a many-voiced manner, of course. Similarly, an adherence to the novel's democratizing instincts has been read to sanction a kind of aesthetic liberalism at some remove from the realities of cultural hierarchization in an otherwise democratic exchange. It is notable

that in his later essays Bakhtin both fell foul to such exuberance himself while at the same time offering a somewhat more circumspect appreciation of the novel's contribution to dialogic interaction. In the essays gathered for the collection *Speech Genres and Other Late Essays* (1986) one notes that Bakhtin's concern for modes of social expressivity finds speech itself a primary genre, while the novel is listed as a secondary one. Genres of speech condition everyday interaction in a manner to which the novel contributes but does not necessarily lead. True, such genres are malleable, but their levels of structural determination in the everyday are read as decisive in a way that in the novel they might be merely symptomatic. This is not to demote the literary and its importance for Bakhtin but is rather to remark upon a conceptual nuance that Bakhtin himself found difficult to apply across the range of his critical interests. There are many reasons for this, including perhaps the effects of a paucity of genuine intellectual dialogue for long periods of Bakhtin's life, but it does mean that summary assessments of his work, like the theory of dialogism itself, are highly sensitive to the position from which the perception of it begins.

Fortunately, the key works in Bakhtin studies are aware of this difficulty and address it in a variety of innovative ways. An early foray into this field is Tzvetan Todorov's *The Dialogical Principle* (1984). Two more substantial contributions are Katerina Clark and Michael Holquist's *Mikhail Bakhtin* (1984) and Gary Saul Morson and Caryl Emerson's *Mikhail Bakhtin* (1990). The coincidence of titles should not be taken to mean a consonance of critical positions. Emerson's *The First Hundred Years of Mikhail Bakhtin* (1997) provides a thoughtful reconsideration of key debates, while Ken Hirschkop's *Mikhail Bakhtin* (1999) offers a polemical

analysis alive to Bakhtinian possibilities as well as limits. Galin Tihanov's *Master and Slave* (2000) is a pertinent intellectual and critical history of Bakhtin in relation to Lukács. Holquist's *Dialogism* (1990) gives a lively overview of core Bakhtinian concepts. There are dozens of edited essay collections and conference proceedings now available, and for references one should consult the Bakhtin Centre, <http://www.shef.ac.uk/bakhtin/>. The Centre (initiated by David Shepherd, now directed by Craig Brandist) at the University of Sheffield is by far the most useful reference point for Bakhtin studies in any language and over the years has provided not only a venue for Bakhtin conferences and individual lectures but has acted as a research hub for Bakhtin scholars from around the world. One of its core missions has been to translate and edit a projected seven-volume collected works of Bakhtin being produced in Russia. It is hoped that this translation might also be available digitally, an extension in genre that Bakhtin would surely have appreciated.

SEE ALSO: Definitions of the Novel, Formalism, Intertextuality, Georg Lukács, Novel Theory (20th century), Parody/satire.

BIBLIOGRAPHY

- Bakhtin, M.M. (1929), *Problems of Dostoyevsky's Poetics*.
 Bakhtin, M.M. (1965), *Rabelais and His World*.
 Bakhtin, M.M. (1981), *The Dialogic Imagination*.
 Bakhtin, M.M. (1986), *Speech Genres and Other Late Essays*.
 Bakhtin, M.M. (1990), *Art and Answerability*.
 Bakhtin, M.M. (1993), *Toward a Philosophy of the Act*.
 Pechey, G. (2007), *Mikhail Bakhtin*.
 Pereen, E. (2007), *Intersubjectivities and Popular Culture*.
 Poole, B. (1998), "Bakhtin and Cassirer," *South Atlantic Quarterly* 97:537–78.

Baltic States

FLORIN BERINDEANU

This entry focuses on the Baltic countries of Estonia, Latvia, and Lithuania. The Baltic countries are at the intersection of Western and Eastern elements that combine to make them distinctively hybrid societies. From the linguistic point of view, Latvian and Lithuanian are among the oldest languages, as they belong to the Sanskrit family of Indo-European culture. There is thus a blending of major European faiths in Baltic culture (Western Catholicism, Protestantism, and Slavic Orthodoxy), and linguistic amalgamation (Germanic and Slavic) which feed and inform the narrative structures and literary output as a whole. Baltic cultures also benefit from other influences, e.g., Scandinavian, Russian, and Jewish. And at a strictly political level, in any analysis of modern Baltic societies it is fundamental to consider their annexation by the Soviet Union for almost eighty years, a historical experience that has had deep consequences for cultural life.

The narrative output of the Baltic countries is fairly limited, for two reasons. The first has to do with the prevalence of oral rather than written literature. The other follows as a consequence of the prevalence of oral literature in the three Baltic countries, i.e., a relatively later emergence of specifically national literature. In this respect, it is significant that one of the major semioticians of our time, the Lithuanian Algirdas Julius Greimas (1917–92), published his study of Lithuanian mythology in the wake of Vladimir Propp's (1895–1970) *Morphology of the Folktale* (1928). Although little is known about the ancient folklore and mythology of Baltic countries, they are assumed to constitute the fundamental basis for the beginnings of the written literature. The reception of Baltic narrative is still notably reduced

outside the territory, but Baltic mythology and more rarely narrative have influenced well-known German and Scandinavian authors, as well as Russian and Polish ones.

ESTONIAN NARRATIVE

The northernmost country of the Baltic republics is a vivid example of the dominant primordial culture. Estonia has an impressive oral tradition that has only partly survived. With the enthusiasm for folklore and oral literature stimulated by the Romantic ideas traveling east, so to speak, Estonia's rich heritage of fairytales, songs, and other traditional narrative forms (sayings, proverbs, riddles) had to wait until the late nineteenth century, when the Rev. Jakob Hurt (1839–1907) urged the nation to collect its treasure. Very few written inscriptions in Estonian, and certainly no literature, have been found prior to the publication of the *Wanradti ja Koelli katekismus* (1535, *Short Catechism*), Estonia's first ever book. Written by two clergymen, Johann Köll (d. 1540) and Simon Wanradt (1500–67), the book is a liturgical text whose translation into Estonian was for devotional and educational purposes. Nonetheless, Estonian literature did not begin to flourish until the late nineteenth century with Eduard Vilde a prolific novelist and short-story writer whose work spanned the early 1880s until his death in 1933. It is interesting to examine Vilde's narrative accomplishments from a broad cultural point of view. Influenced by French REALISM and NATURALISM (Honoré de Balzac and Émile Zola in particular), in his realistic novel *Külmale maale* (1896, *To the Cold Land*) and a few years later in his historical trilogy, Vilde shows a modern Estonia caught between the West and its increasingly threatening neighbor, Russia, who would soon incorporate Estonia into the Soviet Union.

Despite the post-revolutionary defeat of the tsarist occupation in 1905 and its declaration of independence in 1918, Estonia remained close to the Soviet Union, which generated in Estonian intellectuals the desire to rekindle the ties to the Western culture which had been abruptly interrupted by those events. The opposition of Estonian writers during the harsh Soviet years was expressed mainly through exile and silence. After independence, many writers enjoyed a new capacity for political expression and occupied political roles that allowed them to be particularly attentive to the still fragile democracy. From this point forward, two major themes continuously intersect: that of independence and Estonian identity, and the necessity to not lose contact with what was seen as the advanced cultures of the West. Friedebert Tuglas, Villem Grünthal-Ridala, and August Gailit dominated the narrative scene of Estonian literature as they took up the cry of their predecessor, the neo-Romantic poet Gustav Suits (1883–1956), who stressed the need to remain Estonian while also becoming European. At the same time, other influences from the neighboring Scandinavian countries (especially Norway and Sweden) were finding their way into the Estonian novel. Oskar Luts's *It Is Written* was influenced by Knut Hamsun, while Gailit, from his exile in Sweden, produced short stories blending the theme of exile with that of discovering different social realities. Social criticism dominates the prose of Anton Hansen Tammsaare, whose short stories display a biting sarcasm reminiscent of underground Soviet authors such as Daniil Harms, Ilya Ilf, and Yevgeni Petrov. In *Kõrboja peremees* (1922, *The Master of the Kõrboja*) and the massive *Tõde ja õigus* (1926–33, *Truth and Justice*, 5 vols.), Tammsaare's fiction explores social conflicts interlaced with deep romantic feeling.

After the late explosion of Estonian narrative in the second half of the nineteenth century, the twentieth century vigorously continued the realistic tradition of novel writing, combined with new aesthetic modes such as SURREALISM and existentialism. Karl Ristikivi is a good example. His novels, almost entirely centered around exile, are populated by characters who seem to inhabit concomitantly fantastic worlds. One such example is his narrative *Souls' Night* (1953), which shows the stylistic influence of Herman Hesse. With two other major Estonian novelists of recent decades, Arvo Mägi and Valev Uibopuu, the analysis of the individual in history became central, thereby allowing us to see how Estonian narrative still connects to its foundational roots, as well as to the search for the Other imposed by the frequent condition of exile. Very recently, Estonia has had, in Jan Kross, a serious candidate for the Nobel Prize for literature. He is one of the most representative novelists since the 1970s, and his novels describe the European vocation of Estonians, one that could not be stifled even during the dark years of Soviet dictatorship.

LITHUANIAN NARRATIVE

Lithuania has an equally old history among Baltic countries which, like that of Estonia, is little known in its earliest details. Embracing the Catholic faith toward the end of the fourteenth century, Lithuania connected quickly to Western culture through its important Catholic neighbor, Poland. Geographical distance vis-à-vis the West is not so much an issue with Lithuania as it is with Estonia, and this greatly contributed to the relatively early publication of books in the country. Francis Skorina published the first books in Lithuanian in Vilnius in the early sixteenth century, and from then on

Lithuania was permanently in touch with the West through two important Slavonic centers, Kraków and Prague. Another decisive factor in the development of Lithuanian literature was the impact of the Reformation on the consolidation of the vernacular language in multiethnic areas like Prussia.

Although many literary works written in Lithuanian between the fifteenth and eighteenth centuries have been lost, it is very unlikely that they included secular compositions. The translation of Aesop's fables into Lithuanian in 1706 is arguably the first work of fiction published in the vernacular. It was widely based on the linguistic ideology of Michael Mörlin (1641–1708) who, in a Latin treatise dedicated to the Lithuanian language, stressed the importance of spoken language and folklore for the formation of a NATIONAL literary language. After the fall of the Polish–Lithuanian state and the country's incorporation into the Russian Empire in 1795, Lithuanian literature captured the echoes of Enlightenment ideology and tried to adapt it to the cultural needs of the Lithuanian-speaking audience. Many ideas of the French Enlightenment and, with Jean-Jacques Rousseau, essential aspects of Romantic ideology came from Poland. Wilhelm von Humboldt (1767–1835) and Johann Gottfried Herder (1744–1803) are other sources of sustaining the desire for literary change in Lithuania. Herder, in particular, is credited with the introduction of Romantic ideas such as the importance of folklore, lyricism, and a national ethos into the newborn Lithuanian literature. Silvestras Valiūnas and Simonas Stanevičius are the most representative nineteenth-century writers whose narrative literature is heavily focused on the revival of local folklore, the value of contemplation in the midst of nature, and the importance of education in the formation of a national spirit. The almost necessary stage of literary realism that dominates the last half of the nineteenth century

and the beginning of the twentieth in the wake of the big social movements that affected all of Europe paved the way to redefining literature as independent from political propaganda.

Unlike the other two Baltic countries, until recently Lithuania had to defend its sovereignty from various directions, particularly from Poland and Germany. Along with the obvious political fragility, such a situation was also conducive to new ideas and to a permanent effervescence in artistic creation. Lithuanian intellectuals travel a lot, moving from country to country or going into exile without forgetting their own national language and literature. From the artists' perspective, therefore, what is unstable from the social and political point of view becomes an important asset that can be exploited in their work. In less than half a century, Lithuanian literature absorbed and adapted the fundamental aesthetic ideas of the West. Perhaps the most famous modern Lithuanian writer, Jurgis Baltrušaitis, introduced the symbolist aesthetic through prolific translations from Russian, Scandinavian, French, and Italian writers in addition to his original poetic and essayistic output. In his novel *The First Years* (1936), Juozas Paukštelis renews the conflict between romantic sensibility committed to lofty ideals and the crude reality of social tensions and economic stresses typical of modern urban life. The longing for a mythical past is rendered obsolete and comical in the way in which the main character is portrayed by Jonas Marcinkevičius in his *Benjaminas Kordušas* (1937). Here, realist technique is craftily handled in a way that blends with the nostalgic aura of times past and aristocratic ideals, reminiscent of Ivan Goncharov's *Oblomov* (1859). A similarly elegiac note, albeit without the comedy and caricature to be found in Marcinkevičius, is present in the novels of Juozas Baltušis. His novel *Sakmė apie Južą* (1979, *The Tale of*

Juza) is a fresco of the changing condition of the Lithuanian peasantry, both economically and spiritually.

The insertion of popular songs, folklore, and rural expressions represents the pronounced streak of nostalgia for a mythical past that dominates Lithuanian literature. The lyrical vein characteristic of many Lithuanian writers translates into a notable preference for the poetic genre. Indeed, very often the narrative itself is consistently imbued with poetic tones and descriptive passages centered on nature and the feelings it triggers as subjective response from individuals. When authors like Bronius Radzevičius draw their fictional inspiration from the interest in foreign writers like Blaise Pascal (1623–62), Albert Camus, or Thomas Wolfe, such sources are used to elaborate on the mythologization of rural life.

The thread of invoking the age of folksong and traditional society remains a constant in Lithuanian literature, old and new. Even contemporary writers like Ramūnas Klimas use popular motifs in their novels. Klimas experiments with language and NARRATIVE PERSPECTIVE and in this sense, he is perhaps the most postmodern of the contemporary Lithuanian authors, as he convincingly demonstrates in his *Gintė ir jos žmogus* (1981, *Gintė and Her Man*). What distinguishes him from other Lithuanian novelists is a keen linguistic sense that combines popular speech, jargon, and idiom (see DISCOURSE) to re-create in fictional narrative something similar to a history of spoken Lithuanian. This trait, combined with subtle and ingenious manipulation of plot and temporal perspective, make his writing emblematic of the two dimensions that are typical of the Lithuanian ethos in novel writing: the local (rendered linguistically) and the external (often expressed thematically).

Postmodernism in art and literature is considered a landmark in Lithuanian cultural life in general. In addition to its strictly

aesthetic meaning which has been adopted from the precursors of postmodern thinking, Lithuanian artists convey, through their recourse to postmodernist ideas, a clear historical meaning. It represents the moment of liberation from the imposed burden of MARXIST ideology that was demanded to be at the core of any artistic creation. Thus, for instance, Saulius Tomas Kondrotas jettisons any referential discourse in his fiction, replacing it with playful narrative strategies that border on allegory. In his novel *Ir apsimiauks žvelgiantys pro langą* (1985, *The Faces of Those Looking through the Window will Cloud Over*), Kondrotas chooses elliptic and ambiguous narrative information, through which he insinuates political changes in a traditionally allegorical manner. Themes of freedom and nonconformity are pronounced in literature. Interestingly, and rather unusually, many contemporary Lithuanian writers have a scientific background: many studied engineering, medicine, or architecture, while others came to literature by way of the visual arts. The latter is the case of Jurga Ivanauskaitė, a young writer who was deeply influenced by the “hippie” movement and was the first to adopt a FEMINIST approach to fiction. One of the most imaginative and adventurous novelists of the new generation, Ivanauskaitė combines SURREALISM, psychoanalysis (see PSYCHOANALYTIC), and GENDER discourse in her later writings, most notably in *Gardens of Hell* (1992). There is also a sort of “forbidden” theme in contemporary literature that is tackled mostly by the Lithuanian writers in exile. This includes the tense relationship between Lithuanians and Russians, and especially the guilt complex related to the violent outbursts of anti-Semitism in 1941. The haunting sense of guilt, and the near-impossibility of speaking about it in a context where the subject remains a hideous taboo, are present in the novella *Isaac* (1960) by Antanas Skema. In

this work, the protagonist gradually decides to transform the impossibility of erasing his crime (at the beginning at the novel he kills Isaac) into a sort of irrepressible passion for self-victimization. The conclusion of the novel gathers all the influences that animate Skema’s art: existentialism, the theory of split personality, madness, and the image of the world as a confining mental asylum.

LATVIAN NARRATIVE

As I indicated earlier, Baltic countries have in common a recurrent longing for the ancient past, and Latvia is no exception. The interest in folklore and all that represents the rhapsodic mentality of traditional society is even more enhanced by the fact that Herder moved to Latvia in 1764, where he studied and collected samples of the Latvian songs he would put into his *Volkslieder* (1779, *Folk Songs*) and *Stimmen der Völker in Liedern* (1807, *The Voices of Peoples in Songs*). As in most European countries, Latvian literature began with translations from biblical and ecclesiastic texts. Since religious texts circulated for many centuries as the primary educational source to accompany spiritual growth, Latvian literature in the vernacular would have to wait—as in Estonia and Lithuania—until the mid-nineteenth century. Perhaps for this reason, REALISM and Romanticism are the main aesthetic directions in all literary genres. Realism is employed by novelists, like Rudolfs Blaumanis, when the intention is to suggest how changes of the individual are caused by social transformations. Imported almost simultaneously, Romanticism is most suited for novellas and novels that stress the idea of universal freedom and spirituality: this is the direction taken in the fiction of Jānis Poruks, a kind of Thomas Mann of Latvian literature. Poruks inaugurates the line of individual Romanticism

which finds a different expression in the several volumes of fairytale collections written by Kārlis Skalbe, viewed by many commentators as the Hans Christian Andersen of Latvian literature.

At the beginning of the twentieth century, Latvian prose was enriched by the DECADENT novels of the writer and painter Jānis Jaunsudrabiņš. Novels like *Caucasus* (1920), *Nāves deģa* (1924, The Death Dance), and *Capri* (1939) depict—in simple terms sustained by the use of provincial expressions and oral-expressive modes—female characters caught in social situations that lead to their moral decay. The decadent aesthetic connected to linguistic symbolism is one of the most common themes in Latvian narrative of the first decades of the twentieth century. The influence of Oscar Wilde, Emilé Verhaeren, and Gabriele D'Annunzio permeated the fiction of many Latvian writers of the time, who saw the decadent aesthetic as the most suitable medium to explore the intricacies of human emotions. Even where there are traces of other aesthetic influences and interests (most commonly, expressionism), Latvian writers use such experiments as short-lived deviations from other forms of decadence. More recent Latvian novelists like Antons Rupainis and Knuts Lesiņš develop what appears to be a constant of Latvian narrative: namely, that of complex plot orchestration and the narrative technique of INTERTEXTUALITY. Rupainis, the author of novels set in monastic environments, tries to emulate a semiotic tradition in fiction made famous by Umberto Eco. For his part, Lesiņš is another exponent of interdisciplinary DISCOURSE—in his case, literature and music. Lesiņš, in fact, belongs to an important trend in Latvian contemporary fiction that approaches narration and music as areas for investigating the human soul. Probably the most representative of this is the well-known Latvian composer, Marģeris Zariņš.

At the age of 60 Zariņš wrote his first novel, which immediately became an international success. *Mock Faustus or The Corrected Complemented Cooking-Book CCC* is a fictional reply to the acclaimed *The Master and Margarita* by Mikhail Bulgakov. Zariņš, who in 1990 became Latvian Minister of Culture, uses the myth of Faust, Goethe's epic, and Bulgakov's novel to address the issue of creation in a totalitarian system from the point of view of the active intellectual who never surrenders belief in the impact of action for the collective good.

Where novelists like Zariņš and Lesiņš represent the intellectual side of Latvian prose, another direction of the past decades focuses on the effects of determinate historical situations on individual destiny. Aleksandrs Pelečis's novels engage the recent history of Latvia and show how it can be seen to illustrate human psychology. The postmodern theory of fragmentation is perhaps best expressed by Pelečis's ironic and subtle tone, one that avoids nostalgia and obsolete meditation and instead opts for frequent digressions and sarcasm that remind us of the satiric vein of Zariņš. The horrific sense of the Other that Baltic artists—who for strategic reasons never embraced communism—had toward the Soviet Union is suggestively portrayed in Pelečis's novel *Siberia Book*. With the succession of occupation and temporary liberation from the great belligerent forces, Pelečis insists on rendering ironic the profound collective trauma of Latvian people through most of the twentieth century.

BIBLIOGRAPHY

- Eco, U. (1989), *Open Work*.
 Greimas, A.J. (1985/1992), *Of Gods and Men*.
 Greimas, A.J. (1993), *Lithuanie, un des pays baltes*.
 Kubilius, V. et al., eds. (1997), *Lithuanian Literature*.
 Lotman, J. (1984), *Semiotics of Russian Culture*.

- Meiksins, G. (1943), *Baltic Riddle*.
 Mephram, J. (1991), *Narratives of Postmodernism*.
 Naylor, K., ed. (1972), *American Bibliography of Slavic and East European Studies for 1967*.
 Pēteris, Ē. (1954), *Wreath of Remembrances*.
 Rubulis, A. (1970), *Baltic Literature*.
 Zariņš, M. (1987), *Mock Faustus or The Corrected Complemented Cooking-Book CCC*.

Barthes, Roland *see* Author; Intertextuality; Mythology; Narrative Structure;
 Psychoanalytic Theory; Structuralism/
 Poststructuralism
Beginning *see* Closure
Bestseller *see* Publishing
Bienséance *see* Decorum/Verisimilitude

Bildungsroman/ Künstlerroman

JOSEPH R. SLAUGHTER

Bildungsroman is the technical German term for the “novel of formation,” popularly known as the coming-of-age novel. There is no complete consensus on what constitutes a *bildungsroman*; the term can be capacious enough to cover any story of social initiation that may be found in any culture, or it can be so narrowly construed that, as one critic has quipped, only three and a half examples may be included among a small group of late eighteenth-century German novels, of which Johann Wolfgang von Goethe’s *Wilhelm Meisters Lehrjahre* (1795–96, *The Apprenticeship of Wilhelm Meister*) is typically taken to be the epitome (Sammons). However, the original impulse for the GENRE is generally traced to the philosophical humanism of the German Romantics—including Johann Gottfried von Herder (1744–1803), Friedrich von Schiller (1759–1805), Georg Wilhelm Friedrich Hegel (1770–1831), Goethe, and Wilhelm von Humboldt (1767–1835). In its ideal form,

the *bildungsroman* narrates “the reconciliation of the problematic individual . . . with concrete social reality,” in whose structures and institutions the protagonist finds “responses to the innermost demands of his soul” (Lukács, 132–33). In other words, the early idealistic German novels imagine the possibility of the individual and society achieving a mutually beneficial and fulfilling harmony (see LUKÁCS, PHILOSOPHICAL).

As confidence in this optimistic vision of reconciliation has eroded since the eighteenth century, the term’s scope has expanded to cover almost any novel that narrates the struggle between the rebellious inclinations of the individual and the conformist demands of society. If the great mass of novels we read as *bildungsromane* do not manifest the idealism of the early examples, we might conclude that the genre persists more in the breach of its original conventions than in their observance. Nonetheless, theorists have continually tried to articulate definitions of the *bildungsroman* that might account not only for the German emergence and European transformation of the form over the course of the nineteenth century, but also for the genre’s deformation in the twentieth century and the expansion of its concerns and constituency in the eras of women’s liberation, civil rights struggles, decolonization, and globalization. For analytical purposes, we can organize those definitions according to their emphasis on particular aspects of the *bildungsroman*: its plot, humanist theme, or social function. This framework helps to explain the lasting appeal (for writers, readers, and publishers) of the *bildungsroman*, its elastic capacity, and its steady proliferation in the body of world literature.

PLOTS OF DEVELOPMENT

Since the late nineteenth century, when Wilhelm Dilthey popularized the term

“bildungsroman” to group together a set of German novels—including Goethe’s novel, Christoph Martin Wieland’s *Agathon* (1765–66), and Friedrich Hölderlin’s *Hyperion* (1797)—that portray the spiritual growth of a young man who “finds himself, and attains certainty about his purpose in the world,” literary critics have often delineated the genre in terms of plot elements common to the classic examples (335). Susanne Howe characterized the typical plot pattern in rather mundane terms: an adolescent hero “sets out on his way through the world, meets with reverses usually due to his own temperament, falls in with various guides and counselors, makes many false starts in choosing his friends, his wife, and his life work, and finally adjusts himself in some way to the demands of his time and environment” (4). In nineteenth-century novels of young men successfully coming of age, the psychodynamics of this social apprenticeship were often objectified in tropes that provide still-familiar ways of imagining personal growth: rejection of the emotional, social, and financial security of the family for the hazards of independence; migration from country to city; periods of immersion in the worldly school of the streets; sexual initiation that “involves at least two love affairs or sexual encounters, one debasing, one exalting” (Buckley, 17); selection of a mate and a profession. The bildungsroman’s conclusion serves to demonstrate, at least to the protagonist (the *Bildungsheld*), that life is meaningful and that apparently random plot events are actually linked and indispensable for becoming a well-rounded, productive member of society. Thus, at the end of Goethe’s novel, Wilhelm is shown by the secret Society of the Tower that the seemingly haphazard encounters that drew him to the Society were covertly plotted by its members.

While bildungsroman plots vary, these basic elements remain remarkably consis-

tent among nineteenth-century European examples, even in novels like Charles Dickens’s *Great Expectations* (1861) and Gustave Flaubert’s *L’éducation sentimentale* (1869, *Sentimental Education*), which ironize the idealistic patterns to explore the harsh social realities and stratifications of modern city life. Fictions of female development from the period also often use irony to show some of the exclusionary assumptions behind the bourgeois male norms of the genre, splitting the storyline into “a surface plot, which affirms social conventions, and a submerged plot, which encodes rebellion” (Abel, Hirsch, and Langland, 12). Such alterations to the normative generic conventions illustrate “the improbability of the *Bildung* plot,” in novels such as Charlotte Brontë’s *Jane Eyre* (1847) and George Eliot’s *Mill on the Floss* (1860), where the mobility of young women is greatly restricted (Fraiman, x). Alternatively, bildungsromane with female protagonists may tell stories of delayed self-discovery, in which women seek fulfillment beyond the confines of marriage and motherhood (see FEMINIST, GENDER).

With the erosion of confidence in the idea of progress generally and in the ideal of harmonious reconciliation between the individual and society specifically, twentieth-century bildungsromane often read like parodies of Goethe. For instance, the protagonist of Günter Grass’s *Die Blechtrommel* (1959, *The Tin Drum*) lives through WWII and the reconstruction of Europe in a 3-year-old child’s body, refusing to join the insidious world of adults: he fathers a baby with his stepmother, joins a band of dwarves that entertain Nazi troops, and ends his days in an insane asylum. The perversion of classic plot elements in such novels reflects the corruption of the social order, if not of the soul. Distorted plots of alienation have been used to great effect by writers from socially, politically, culturally, racially,

sexually, and economically marginalized groups to expose the discrepancy between the ideal of equal opportunity and the actual discriminatory practices of modern social formations. Similarly, bildungsromane from colonial and postcolonial situations often mock the dominant generic conventions to show how the promises of liberal humanism remain unfulfilled, and are unfulfillable, under exploitative systems. The Goethean plot is perhaps most fully undone in Moroccan novelist Tahar Ben Jelloun's *L'enfant de sable* (1985, *The Sand Child*): a young Muslim girl is raised as a boy in colonial Morocco, marries an invalid female cousin, and runs off to join a traveling burlesque show as a drag queen, where she is abused and raped before simply vanishing from society altogether (see CLASS, RACE).

VARIATIONS ON A HUMANIST THEME

Critics often emphasize the teleological aspect of the bildungsroman plot, aligning it with the Enlightenment themes of human progress, social evolution, and improvement. The bildungsroman was so named because it appeared to novelize the humanist values of personal growth and self-fulfillment that eighteenth-century German philosophers theorized as *Bildung*—a notoriously untranslatable word that connotes both form and the process of formation. The theory of *Bildung* represents a philosophical effort to reconcile the subjective condition of the human being with the objective social world. *Bildung* is sometimes discussed in egoistic terms as a matter of individual self-actualization through aesthetic education, but for most of the early philosophers it had a crucial secular component (Redfield). The ultimate goal of *Bildung* was to incorporate the fully realized person into the mundane world of politics

and politics—in particular, into the realm of the modern nation-state, where “the roles of man and citizen coincide as far as possible” (Humboldt, 51).

In its ideal form, the bildungsroman tells a transition narrative of the modernization of the subject in such a way that the “conflict between the ideal of *self-determination* and the equally imperious demands of *socialization*” is resolved by the historical emergence of both a just social order and an individual who freely consents to its demands (Moretti, 15). A strict thematic definition of the genre might insist that a particular novel is a bildungsroman only if it achieves such balance; in practice, however, the mass of bildungsromane are spread across a spectrum of less-than-ideal resolutions to the tension between personal liberty and social constraint. The early German novels proposed slow, incremental social change as an alternative to violent upheaval, narrating, in Franco Moretti's memorable phrase, “how the French Revolution could have been avoided” (64). Many contemporary, postcolonial examples are pessimistic about both alternatives. In Arturo Arias's *Después de las bombas* (1979, *After the Bombs*), for example, neither evolution nor revolution seems possible; set in the wake of the 1954 CIA-sponsored coup in Guatemala, the protagonist's opportunities are as empty as the stuffed-shirts of the puppet dictators and the blank pages of the censored European novels he reads, trying to imagine life beyond a city and civil order suffocated by multinational corporations, corpses, and fear (see CENSORSHIP).

THE SOCIAL WORK OF THE BILDUNGSROMAN

Literary scholars have long held that the novel emerged with the nation-state and the bourgeoisie as the story-form most

capable of representing the prosaic lives of this young social class (see NATIONAL). As “one of the cardinal documents of bourgeois literacy,” the bildungsroman illustrated to an emergent reading public both the opportunities made possible and the limitations imposed by the new social formations (Swales, 148). This is one explanation for the genre’s appearance in societies around the world, wherever capitalist modernity is coming into being. The bildungsroman has been consistently described as a didactic genre that performs what it thematizes, encouraging the reader’s cultivation through its depiction of the protagonist’s development (Martini). This reflexivity is often represented within the novels themselves, whose protagonists tend to be not only “intensive readers of their own lives” but also intensive readers of literature and especially of earlier bildungsromane (Kontje, 6). For instance, Wilhelm Meister is obsessed with *Hamlet*, and Hisham, the protagonist in Saudi novelist Turki al-Hamad’s *Adama* (2003), blends his reading of revolutionary treatises by Frantz Fanon (1925–61), Karl Marx (1818–83), and Che Guevara (1928–67) with bildungsromane by Dickens, Victor Hugo, and Maxim Gorky.

One educational quality depicted within the bildungsroman and repeated for its readers entails learning to narrate one’s life as a novel—ideally, of course, as a bildungsroman. This also has a conventional manifestation in first-person bildungsromane, which often end precisely where they began, with a scene of the protagonist sitting down to write the story we have just read; the story thus becomes the narrative of the *Bildungsheld*’s acquisition of the skills, habits, experiences, and attitudes necessary to write that story after the fact (Slaughter, 137). This is the paradigmatic form of the künstlerroman, the apprenticeship story of an artist, but we find it too in bildungsro-

mane of social protest, in which the protagonist-narrators want to emphasize the improbability of having gotten into a position to tell their life story and to claim the right to represent themselves, both literarily and politically. Zimbabwean writer Tsitsi Dangarembga plays upon these conventional expectations in *Nervous Conditions* (1989) in order to undercut the liberal pretensions of the imperial civilizing mission, revealing in the novel’s final paragraph that the story of colonial assimilation we have been reading did not, in fact, equip her to narrate her story. Dangarembga’s novel seems to confirm what some postcolonial critics have argued: not only that colonialism made *Bildung* improbable but that the desired pedagogical effect of the bildungsroman was to produce compliant colonial subjects (Lima).

The colonial service of the bildungsroman seems to contravene its social function in nineteenth-century Europe, where it acted as a form of symbolic legitimation of the democratic order, teaching the reader, along with the *Bildungsheld*, to become someone who “perceives the social norms as *one’s own*,” “not as a fearful subject but as a convinced citizen” (Moretti, 16). Whether one regards this process as benign orchestration of harmonious consent or as malignant social control, the bildungsroman has traditionally functioned as a genre of social incorporation, by which individuals from historically marginalized groups make “claims for inclusion in the franchise of modern citizenship” (Slaughter, 132). Perhaps this is most clear in the context of the women’s liberation movements and the civil rights struggles of the twentieth century, when the bildungsroman assumed “its function as the most salient genre for the literature of social outsiders, primarily women or minority groups” (Hirsch, 300; LeSeur). In recent years, the bildungsroman seems to

have traveled the globe with human rights, appearing wherever socially and politically disenfranchised peoples seek to assert their rights to be included in a just, democratic society. This function is not new; from its inception, the bildungsroman has made human rights claims, whether in the social protest novels of the nineteenth and twentieth century, or in the late eighteenth-century progenitors that sought to legitimize the emergent bourgeoisie as the dominant social, political, cultural, and economic class—as, that is, proper subjects of literature in their own right.

SEE ALSO: Definitions of the Novel, Modernism, Narrative Perspective, Narrative Structure.

BIBLIOGRAPHY

- Abel, E., M. Hirsch, and E. Langland, eds. (1983), "Introduction," in *Voyage In*.
- Buckley, J.H. (1974), *Season of Youth*.
- Dilthey, W. (1910), *Selected Works*, vol. 5, ed. R.A. Makkreel and F. Rodi.
- Fraiman, S. (1993), *Unbecoming Women*.
- Hirsch, M. (1979), "The Novel of Formation as Genre," *Genre* 12 (3):293–311.
- Howe, S. (1930), *Wilhelm Meister and His English Kinsmen*.
- Humboldt, W. von (1792), *Limits of State Action*.
- Kontje, T.C. (1992), *Private Lives in the Public Sphere*.
- LeSeur, G. (1995), *Ten Is the Age of Darkness*.
- Lima, M.H. (1993), "Decolonizing Genre," *Genre* 26 (4):431–60.
- Lukács, G. (1920), *Theory of the Novel*.
- Martini, F. (1991), "Bildungsroman," in *Reflection and Action*, ed. J. Hardin.
- Moretti, F. (2000), *Way of the World*.
- Redfield, M. (1996), *Phantom Formations*.
- Sammons, J.L. (1981), "The Mystery of the Missing Bildungsroman," *Genre* 14 (2):229–46.
- Slaughter, J.R. (2007), *Human Rights, Inc.*
- Swales, M. (1978), *German Bildungsroman from Wieland to Hesse*.

Binding *see* Paper and Print Technology

Biography *see* Life Writing

Boom Novel *see* Mexico; Southern Cone (South America)

Booth, Wayne *see* Rhetoric and Figurative Language

Brazil

JOSÉ LUIZ PASSOS

The Brazilian novel comes from and still feeds on the desire to make sense of the mixing of social spaces and the fate of those who have shaped moments of contact among unequals. The quest for change and fitting in is often presented retrospectively, and in many cases it results in a search for puzzling family ties. From its beginnings to recent prizewinning works, one can chart across time how plots, structures, trends, authors, and their readership have relied on an intricate interplay between displacement, troubled origins, and the possibilities for a new self. Typically, social exile—or a journey if within the protagonist's own community—is paired with the ubiquity of an absent father figure. The conflict between past expectations and the limited opportunities protagonists have to reconnect or fulfill their hopes yields the grounds for the negotiation between opposing agendas: formal and colloquial registers, highbrow and lowbrow cultures, urban and regional spaces. Time and again the Brazilian novel reinvents the quest of Telemachus as a way of probing nationality, affective loss, and social compromise.

OVERVIEW

Yet the dominant key used to frame the development of the genre in Brazil has been a combination of historical periodization (see TIME) with stylistic and geographical

clustering (see REGIONAL). The novels are often described as fictional scripts about the identity of Brazil or that of its parts. The usual argument is that the Brazilian novel only comes into being after the 1822 political independence from Portugal, when the local elites began pulling together a symbolic face for a new nation (see NATIONAL). Brazilian Romanticism (1836–80) then mapped out the landscape, social groups, and cultural practices, often opposing the country to the city and the historical to the contemporary, as well as introducing Native Brazilians as a source for literary originality, as in José de Alencar's first bestselling novel *O Guarani* (1857, *The Guarany*). REALISM and NATURALISM (1880–1922) surveyed social dysfunctions and ethnic malaises, adopting contemporaneous European racial discourse in an attempt to come to terms with miscegenation and the legacy of slavery (see RACE)—which ended only in 1888 and is indicted in many important works of the period, such as in Aluísio Azevedo's *O cortiço* (1890, *The Slum*). Eventually the Brazilian novel also focused on more individualized characters and the qualms of a troubled moral psyche, as represented by the works of Joaquim Maria Machado de Assis, particularly his *Dom Casmurro* (1899). Symbolism and pre-Modernism (1893–1922) reintroduced spirituality and a poetic prose sensitive to the aesthetics of physical experiences and social performances (see SURREALISM), often highlighting regional cultures and the specificity of their predicaments. Nonetheless, at the beginning of the twentieth century the genre still debated conflicting ideologies about the future of a mixed-race nation against the background of more intense urban changes and new waves of European immigration as in José Pereira da Graça Aranha's *Canaã* (1902, *Canaan*) and Afonso Henriques de Lima Barreto's *O Triste Fim de Policarpo Quaresma* (1915; *The Sad End of Polycarp Lent*).

It was only a hundred years after political independence that MODERNISM (1922–30) brought about a significant break with the literary past. The Brazilian novel diversified its lexicon by drawing on avant-garde “primitivism”; it also acquired an ironic perspective on the colonial heritage and on other canonical forms then prevalent, as in Mario de Andrade's *Macunaíma* (1928). The modernistic remapping of the past expanded on the nineteenth-century romantic survey of SPACE and history. An interest in political history and in cultural detail bloomed in the next generation. Following the 1930 Revolution, writers associated with the so-called Social Novel (1930–45), often grouped together under the loose rubric of Regionalism, depicted socioeconomic hubs characteristic of Brazil's intraregional disparities. Sugarcane and cocoa plantation clans are explored in José Lins do Rego's *Menino de engenho* (1932, *Plantation Boy*) and Jorge Amado's *Terras do sem fim* (1942, *The Violent Land*). Graciliano Ramos looks at migration waves from the backcountry in *Vidas secas* (1938, *Barren Lives*). Social banditism figures in the Southern *gaúcho* saga, such as Érico Lopes Veríssimo's trilogy *O tempo e o vento* (1949–62, *Time and the Wind*). The depiction of these economic cycles and regional communities resulted in works whose style and vernacular rendered what then became a long-standing paradigm for the Brazilian novel: a truth-seeking, verisimilar representation of societal predicaments and locale (see VERISIMILITUDE).

The Social Novel also fostered and coexisted with a concern for protagonists and plots of a more deeply introspective nature. Among some of the regional novels written between the 1930s and 1940s, corruption of family lines or the ruin of social fabric is often presented through the point of view of narrators who disagree with their past or the present conditions they themselves have

helped to create, as in Ramos's *São Bernardo* (1934) and Lúcio Cardoso's *A luz no subsolo* (1936, *The Light Underground*). They do so by writing very personal and fragmented self-portraits (see LIFE WRITING). The New Narrative (1945–64) took this perspective a step further. Now the provincial civil servant, the hit-man from the backcountry, and the urban housewife are inundated with intimations of existential uneasiness in João Guimarães Rosa's *Grande sertão: veredas* (1956, *The Devil to Pay in the Backlands*) and Clarice Lispector's *A paixão segundo G.H.* (1964, *The Passion According to G.H.*). The Brazilian novel had apparently broken free from the epistemological constraints of having to hold fast to its referent. Critics have argued it became largely about language, and attention to language for a moment seemed to overcome the divide between the country and the city as a prime national object for the GENRE (see LINGUISTICS). But following the 1964 military coup, the Political Novel (1964–85) underscored a reassessment of specific urban groups and their dilemmas, and protagonists now resembled or even symbolized recent political history, as in Antônio Callado's *Quarup* (1967); notwithstanding some considerable self-irony, resistance and engagement became a new standard for the novel.

As Brazil finally went through a thorough process of redemocratization (1985–2000), the Brazilian novel started depicting a broader and more diverse set of social groups and experiences. New social movements gradually made their way into the national literary market. Feminist writing (see FEMINISM), Afro-Brazilian novelists, gay and lesbian issues (see SEXUALITY), and ecological fiction have always been a significant part of the Brazilian novel, canonical or non-canonical. But these discourses were rarely acknowledged as autonomous trends, nor could they claim until rather recently a formal literary identity for producers and

consumers on a national scale. Since the mid-1980s these groups and practices have played a vital role in Brazil's literary system. The Brazilian novel benefited from a more varied portrayal of contemporary life, often with an eye to foreign issues and global agendas. Minority discourses, the new historical narrative, detective stories, science fiction, erotica, and cyberspace have now become a fundamental part of the Brazilian novel, as conceived in Marilene Felinto's *As mulheres de Tijucopapo* (1981, *The Women of Tijucopapo*), Rubem Fonseca's 1985 *Bufo e Spallanzani*, Joao Almino's *Samba-Enredo* (1994, *The Samba*), and Ana Maria Gonçalves's recent *Um defeito de cor* (2006, *A Color Blemish*). One might say that the previous focus on grand narratives about national life and identity has been displaced by a more pluralistic approach to social agendas set against the context of an increasingly urban Brazil, as clearly represented in recent works by João Almino, Bernardo Carvalho, Álvaro Cardoso Gomes, Milton Hatoum, Chico Buarque, Ricardo Lísias, Luiz Ruffato, and Cristóvão Tezza, to name just a few.

A NEW BEGINNING

The problem with the above overview is that it represents the Brazilian novel as a practice moving steadily toward greater social inclusion, identity politics, and globalization. To be sure, both the form and function of these works were locally defined by specific sociocultural situations; and as Piers Armstrong succinctly states, "the development of the Brazilian novel is inseparable from ethnic and geographic considerations" (105). Yet the assumption that local, hybrid communities will always generate documents whose meaning derives from contextual links to space and nationality is somewhat limiting. Moreover, the matching of

periods and styles between Brazilian cultural history and that of Europe and the U.S. has produced a view of the Brazilian novel which is dependent on schemes created to chart other traditions, even when critics try and attempt to underscore specific practices and topoi arguably representative of the Brazilian case.

As a result, none of the works that were produced in Brazil or written abroad by Brazilian-born intellectuals prior to the 1830s are usually considered part of the Brazilian novel. To start with the earliest possible example, consider Teresa Margarida da Silva e Orta's *Máximas de virtude e formosura* (1752, *Maxims of Virtue and Beauty*). She was born in São Paulo, Brazil and published her first and only novel in Lisbon under the pseudonym Dorothea Egrassia Taveda Dalmira. Loosely based on Fénelon's *Les Aventures de Télémaque* (1699, *The Adventures of Telemachus*), the novel was later reissued as *Aventuras de Diófanes* (1777, *The Adventures of Diophanes*). It indicts political tyranny through the perils of a royal family separated after a shipwreck in the Mediterranean. As king, queen, and princess try to return home, each believing to be the family's sole survivor, they take on different social roles ranging from becoming a slave to tutoring other rulers and cross-dressing to escape unrequited love. When they occasionally meet without realizing who the other really is, old bonds of affinity are reaffirmed despite the effectiveness of their own disguises. The Enlightenment conflation between moral character, natural law, and rationality underscores the fact that, in the end, as family ties are fully restored, individual virtues groomed at home are the source and mainstay of new social covenants and greater political fairness. The Brazilian national space proper is still absent here, but the focus on the trials of a young princess engaged to be married to someone who is connected to a

distant kingdom of majestic flora and fauna reminds the reader that the education of future rulers is a task that ought to bring into the picture the New World with its colonial subjects.

The pastoral motifs that characterize Teresa Margarida's work have resonated throughout the upcoming canon of the Brazilian novel. When Joaquim Manuel de Macedo published *A moreninha* (1844, *The Little Brunette*), which most critics consider to be the first Brazilian novel, he also picked up on an interesting relation between displacement, family ties, and social predicament. In *A moreninha* the changeable heart of Augusto is won over by the looks and demeanor of Carolina. The most important spaces framing narrative action are the student boarding rooms in Rio de Janeiro, the festive ballrooms of a summer retreat mansion on an island, and its nearby cave. In the latter the true identity of the protagonists is prefigured and revealed, so that love, modesty, and constancy may restore family ties and engender a new union, symbolic of a pact between the country and the city. One should not underestimate the fact that traversing diverse spaces may yield social insights and restore putative parenthood by way of old pledges, dowries, and tutoring. This logic is somewhat ubiquitous in the Brazilian novel. The protagonists' intimations of loss are closely linked to wagers and masquerading; and in a context where inclusion is tied to landowning, education, and a good family name, the metamorphosis of young lovers of diverse social backgrounds presupposes the negotiation between high and low status, the ballroom and a cave, history and myth.

An analogous framework is also found in *Memórias de um Sargento de Milícias* (1854–55, *Memóirs of a Militia Sergeant*), published anonymously by Manuel Antonio de Almeida as "a Brazilian." The novel surveys the urban lifestyle of middle- and

low-class social types during the reign of King D. João VI in Brazil (1807–21), following the transference of the Portuguese Royal family to Rio de Janeiro at the time of the Napoleonic Wars. The astute rule-bender Leonardo, also an orphan, overcomes social adversity by resorting to mediators: godfathers and godmothers enable him to move forward, and find love and a job. The novel draws on the PICARESQUE form and adds a provocative Brazilian interplay between social order and disorder, which fuels much of the plot and frames customs and practices characteristic of late colonial Brazil (Candido, 1970). More importantly, the historical period depicted is presented by the narrator as collective reminiscing, a joyful lapse into the recent but already much changed values of the 1810s.

But the down-to-earth and colloquial feature of Almeida's only novel is actually a dissonant voice vis-à-vis the contemporaneous Brazilian novel. Alencar, the foremost Brazilian Romantic author, took upon himself the task of making a survey of the country's landscape and history. As Alfredo Bosi has aptly put it, Alencar's twenty-one novels represent a *suma romanesca* of nineteenth-century Brazil (137). Alencar himself divided his work into three parts, roughly corresponding to Native Brazilian issues, the colonial or historical legacy, and urban life with its courtship rituals in Rio de Janeiro during Brazil's Second Empire (1840–89). In his most succinct and lyrical "Indianist" novel *Iracema* (1865, *Iracema, the Honey-Lips*), narration emulates what the author believed to be the rhythms and prosody of Native Brazilian languages and myths. The novel depicts the union between Iracema and the Portuguese soldier Martim, which results in the birth of a Brazilian mestizo child. She opposes her father and leaves her own tribe in the name of a different kind of love, only to wander alone and die after giving birth. Similarly, in Alencar's

urban novels his belief that the genre should engage moral sentiments and educate its readers puts forth a conflict between true love and economic interest. In this sense, *Senhora: perfil de mulher* (1875, *Senhora: Profile of a Woman*) represents the high point of Brazilian romantic irony. The underprivileged and orphaned Aurélia is abandoned by a fiancé who wants to marry up. Luck eventually makes her an heir to a large estate; she subsequently buys back her former fiancé and reeducates his heart. Aurélia sums up her sense of moral worth by reminding her old tutor and estate manager that despite being legally a minor she is actually "older" than he is, for she has been poorer than he has ever been, and now she is wealthier than he will ever be. Again, orphanhood and the transit between contrasting social positions yield moral depth.

THE INWARD TURN

Within its first hundred years, the Brazilian novel has set a consistent record of narratives focusing on how a seeming withdrawal from court life and its values allows for the protagonist's refashioning of identity. Beyond Romanticism proper, love in the Brazilian novel is a function of traversing boundaries that are at the same time spatial, social, and ethnic. This perception cuts across different periods and trends. The pastoral reduction of social life from the complex to the simple—from the city to the country—underscores such displacement as a source of metamorphosis and insight. It also rescues individuals and groups from below, allowing the poor countryside student, Native Brazilians, or an orphaned next-door girl to fit in, take a peek at and every so often enter society to participate in a new family life. To this end, the Brazilian novel has surveyed social divides creatively, linking opposites and at

times challenging the conventional rhetoric of propriety even when it eventually reiterates the status quo.

In no other Brazilian writer is such a daring move more productive than in Machado de Assis. His nine novels focus on the conflicts found at the core of incomplete patriarchal families whose filial or parental surrogates strive to achieve control over their own lives as well as those of others. In his first works, Machado de Assis draws on the same social constellation then available for the urban Brazilian novel: shrewd heroines of humble upbringing conceal their motives in order to move forward and survive in a society that was built to exclude them. These narratives take the genre a step further by making the best of the late romantic inclination toward pretense as a door into relative autonomy. Disguise allows for greater chances of social mobility and self-fashioning. This is the lesson of Machado de Assis's first heroines in *A mão e a luva* (1970, *The Hand and the Glove*), *Helena* (1876), and *Iaiá Garcia* (1878). But following *Memórias póstumas de Brás Cubas* (1881, *Epitaph of a Small Winner*), first-person narrators and male protagonists deploy elaborate fantasies to sort out the limited chances they have to fulfill their desire to represent better pictures of themselves in the public sphere (Passos). Disenchantment goes hand in hand with self-reflexivity. In *Dom Casmurro* (1899), for instance, a strong drive for symmetry between the narrator's blissful origins and his troubled sense of progeny makes him doubt his wife and alienate both her as well as their only son. Bento Santiago emulates *Othello* only to find within his own diatribe moments of self-doubt and the avoidance of responsibility. The fragmented and unreliable narration, fickle and often allegorical, marks the moment when the Brazilian novel manages to give NARRATIVE PERSPECTIVE a nostalgic and seductive twist in order to underscore a

doomed pact between different classes and historical periods (Schwartz). Love manqué brings about a paternity breakdown and it signals the end of the old order in Brazil. With this at hand, Machado de Assis keeps his pastoral interest in the dignity of the lesser privileged even when or precisely because of the fact that they are ultimately betrayed and sacrificed.

In the modernistic Brazilian novel, the same gestures probing the corners of Brazil's building blocks—relations, spaces, and time frames—are revisited as a magical journey into the so-called foundational cultures of the country. Mário de Andrade's *Macunaíma; o herói sem nenhum caráter* reassesses Brazil's Romantic hybridity as a key to the relationship between the experimental potential of the novel and the multiple layers of Brazilian nationality. The inward turn here is at the same time geographic and chronological: the Amazonian hero travels across the entire Brazilian territory and is able to inhabit different temporalities, engaging mythical beings, historical figures, animals, and the natural elements. The connection between the lives of Macunaíma and Iracema is clear. Both are defeated by their love for and commitment to heterogeneity. Andrade draws on lists of different regional words for the same object; together with the hero's many metamorphoses, his novel testifies to the Brazilian modernistic project of accumulating references and of cultural parody (see INTERTEXTUALITY). These transformations allow the narrative form to collect and negotiate between high and low registers; oral and written cultures; African, European, and Native practices (Souza). The fast-paced plot derives from the folktales of Northern Amazonian tribes published in German by the anthropologist Theodor Koch-Grünberg (1872–1924; see ANTHROPOLOGY). *Macunaíma* repatriates these ethnographic tales, but it presents them as the story of a single

family exodus led by a child-minded, sex-obsessed, and unreliable hero who changes ethnicity as he engages other communities, myths, and modernity itself. In the end, Macunaíma's fascination with the low-life side of São Paulo in the 1920s, as well as his melancholy return to the Amazon, seem to be the only possible reenchantment of modern life in Brazil through a compromise between perpetual change and exile at home.

Perhaps the only other Brazilian novel that matches *Macunaíma's* bold and innovative take on cultural heritage, linguistic diversity, and formal experimentation is João Guimarães Rosa's *Grande sertão: veredas*. In Mário de Andrade's work narration belongs to a storyteller who learns the hero's adventures from a parrot that had been Macunaíma's companion during his final days. The story of the hero's life is told as legend from the outset. In contrast, Riobaldo's confessional narrative in *Grande sertão* is an ambivalent self-analysis intertwined with a meditation on how bravery and righteousness, even when motivated by a right cause, might lead from one to the other side. Legend becomes the realm where one may enter a transfiguration of goodness into evil, and vice versa (see MYTHOLOGY). Riobaldo is a *jagunço*, a mix between vigilante and mercenary and occasional hitman who follows nomadic bands across the Brazilian backcountry known as the *sertão*. In a context where the state of law is absent, the *jagunços* enforce traditional personalistic codes of conduct; their bonds replace both the state and family ties. But Riobaldo has a friend whom he admires, Diadorim. The intimations of a homoerotic friendship trigger an obsession with the changeable aspect of objects, people, and relations. Everything is narrated through convoluted retrospection. His metaphysical survey of the *sertão* leads him to search for God but also to seek a pact with the Devil. It bothers Riobaldo that the different sub-

stances that make up the world are so intermixed that a plunge into the core of anything might unleash the reverse of that same thing. Yet he also finds this feature of the world to be hopeful. In his long, virtually uninterrupted dialogue with a quiet interlocutor—a "doctor" from the city—Riobaldo reinvents language to fit his needs as a storyteller. Guimarães Rosa borrows from old, archaic Portuguese, foreign languages, and a wide variety of neologisms to create a new lexicon for his narrator's soul-searching. In the process, his hero joins Diadorim's quest to avenge his father. Riobaldo changes sides but never stops being fond of his friend. He leads the band and abandons them, but in the end, after a climatic knife-fight, Diadorim is killed. When they wash his body Riobaldo learns the true identity of his friend, and this revelation takes the unfulfilled love a step further into myth; it replays the fate of many previous protagonists for whom surrogate ties of affection feed on and enhance the unending motions of an uneasy and hybrid conscience.

WITH AND WITHOUT A PAST

Clarice Lispector's final novel *A hora da estrela* (1977, *The Hour of the Star*) is the moment of utter erasure of these bonds between displacement, double conscience, and the search for homeliness. To be sure Iracema, Bento Santiago, Macunaíma, and Riobaldo all end up losing the familial or affective ties that give consistency and meaning to their lives, but they have actually lived through and for these bonds, people, and their past; they miss a life which has been rich in self-determination, love, and even bravado. In contrast, Lispector adds a despairing twist to the fate of her heroine; and she does so by taking to an extreme the mix between the confessional form and a belligerent if subtle tone characteristic of

Dom Casmurro, *São Bernardo*, and *Grande sertão*. Lispector's protagonist lacks voice; she struggles with language and reifies words as she does with a soda or the repetitive and useless messages of a radio clock. Thus Macabéa becomes the stale object of her self-indulgent narrator, Rodrigo S.M. In this doubling of authorial signatures, Lispector is able to frame the life of her heroine as an anathema and a threat to her male creator. He tells the story of a poor orphan woman from the Brazilian Northeast who migrates to Rio de Janeiro seeking a better life—someone who is an incompetent and unattractive typist, who will be cheated on by her fiancé and her only female friend. The narrator Rodrigo S.M. invents her after seeing a template for the kind of life passing him by on the streets. Yet in Macabéa's utter plainness, she becomes a challenge to him. Her passivity and commonplace epiphanies are his way into negativity; and in his personal plight with this attraction for his social opposite—a supposed non-self—one can see Lispector's superior framing of the splendor and mystery of otherness as a struggle that only exists through language (see FRAME).

The uneasy relationship between displacement, floating family bonds, and self-determination is paramount in the Brazilian novel. Even though the ultimate criterion for proper identity in the genre has historically been a function of space and DIALECT of national life as *the* legitimate topos, the 1960s opened up new directions in part due to Lispector's own mastery of a new language for inwardness. But the Brazilian novel time and again reminds its readers that at the core of many of its major contributions lies a thread linking the sense of distance from modern life and economic centers to a vigorous, self-critical depiction of the mix between modernity and the archaic. The appeal of such mixing is found in the best works by Lima Barreto, José Lins

do Rego, Graciliano Ramos, José Geraldo Vieira, Osman Lins, Jorge Amado, Autran Dourado, Nélide Pinõn, and other important authors.

In recent years, the coming to terms with ancestry through travel or remembrance, the painful lure of the past, the pastoral logic of simplicity as insight into the greater social order have marked new trends and diverse styles, despite predictions to the contrary (Pinto, 2000). One can certainly find these issues clearly articulated along with the brother and sister incest motif in Raduan Nassar's *Lavoura arcaica* (1975, *Primal Harvest*) and Milton Hatoum's *Dois irmãos* (2000, *The Brothers*, 2002). Intricate searches for an actual father or the eloquent review of family history is also an important part of *Adeus, Velho* (1981, *Goodbye, Old Man*) by Antonio Torres, *A república dos sonhos* (1984, *The Republic of Dreams*) by Nélide Pinõn, *Coivara da memória* (1991, *The Burning of Memory*) by Francisco J. C. Dantas, *Nove noites* (2002, *Nine Nights*) by Bernardo Carvalho, as well as Ronaldo Correia de Brito's *Galiléia* (2008, *Galilee*) and Chico Buarque's *Leite derramado* (2009, *Spilt Milk*). In these novels, displacement actually entails a search for family ties and self-understanding. The quest is set against the context of new and often global agendas cutting across Brazilian society and redefining its traditional values and social groups (Johnson; Pellegrini; Resende).

Yet the Brazilian enduring topos of family breakdown told as a pastoral elegy is perhaps best represented throughout the five novels of Dantas. In *Coivara da memória* an unnamed narrator reviews his family history as he awaits trial for avenging his father. The protagonist is a public notary under house arrest. As he prepares to face the jury, the reader is presented with bitter-sweet memories of his grandparents and old life in a long-gone family sugar mill (see MEMORY). Dantas pays a tribute to the tender

pathos of ruins characteristic of José Lins do Rego and Graciliano Ramos. But the exuberance of his lexicon, the long and winding sentences that feed the reader's imagination of defeat, as well as the narrative sense of emotional detail, all look back to Portuguese novelist Eça de Queirós and the sagas of João Guimarães Rosa. Only a handful of contemporary Brazilian novelists are able to match Dantas's command of reminiscence in a daring quixotic mode. In his recent novels, the inability of protagonists to carry on the robust moral makeup of past generations produces a gap filled by remorse and a resentment toward both present time and powerful clans. Not surprisingly, his latest work—the picaresque novella *Cabo Josino Viloso* (2005, Officer Josino Viloso)—depicts the comic disenchantment of a small-town police sheriff whose ultimate embracing of corruption is but evidence that the most eloquent moments of the Brazilian novel are still linked to a heart-breaking art of perpetual loss.

SEE ALSO: Formalism, Metafiction, Narrative Technique, Story/Discourse, Time.

BIBLIOGRAPHY

- Armstrong, P. (2005), "The Brazilian Novel," in *Cambridge Companion to the Latin American Novel*, ed. E. Kristal.
- Bosi, A. (1994), *História concisa da literatura brasileira*.
- Candido, A. (1964), *Formação da literatura brasileira*, 2nd ed., 2 vols.
- Candido, A. (1970), "Dialética da malandragem," *Revista do Instituto de Estudos Brasileiros* 8:67–89.
- Johnson, R. (2004), "Brazilian Narrative," in *Cambridge Companion to Modern Latin American Culture*, ed. J. King.
- Passos, J.L. (2007), *Machado de Assis, o romance com pessoas*.
- Pellegrini, T. (2008), *Despropósitos*.
- Resende, B. (2008), *Expressões da literatura brasileira no século XXI*.
- Schwartz, R. (1997), "A poesia envenenada de Dom Casmurro," in *Duas meninas*.
- Souza, G. de M. e (2003), *O tupi e o alaúde*, 2nd ed.

British Isles (18th Century)

JOHN RICHETTI

Narrative fiction in Britain in the first two decades of the eighteenth century was not substantially different from what it had been in the later seventeenth century. After the Restoration of the monarchy in 1660 and into the early decades of the eighteenth century, British fiction (including many translations from French and Spanish) breaks down into a few types. The novel, as it is now understood, did not yet exist (see DEFINITIONS). Long prose narratives (more than, say, a hundred printed pages) dealing with the lives of fictional but realistically rendered individuals did exist. For example, Miguel de Cervantes Saavedra's *Don Quixote* (1605, 1615) is one of the founding texts of the modern novel genre. So, too, Spanish and French PICARESQUE fiction, a genre Cervantes's novel has affinities with, narrates the racy lives of marginal characters and *pícaros* (rogues or criminals) and portrays the lower levels of society: for example, the anonymous *Lazarillo de Tormes* (1554), a short tale of a resourceful servant boy, Francisco de Quevedo's *El buscón* (1604, *The Swindler*), and Mateo Alemán's *Guzmán de Alfarache* (1599–1604), which narrate the adventures of minor criminals, were all widely read in English translations. Richard Head's and Francis Kirkman's popular *The English Rogue* (1665, but appearing in sequels and abridgments until 1759), which was much imitated in titles such as *The French Rogue* (1672) or *The Dutch Rogue* (1683), is closely modeled

on Alemán's book, and "Guzman" became a synonym for rogue. At the end of the seventeenth century, many accounts of actual criminals were presented in quasi-fictional form which was influenced by the picaresque tradition, such as Francis Kirkman's *The Counterfeit Lady Unveiled* (1673), the life of the con woman Mary Moders (1642–73), and Elkanah Settle's *The Complete Memoirs of the Life of that Notorious Impostor Will Morrell* (1694).

But prose fiction in the late seventeenth and early eighteenth centuries in Britain (and elsewhere in Europe) encompassed a variety of subjects and storytelling techniques. What we now identify as novelistic was simply one of many formats or perspectives. Some popular prose narratives had novelistic qualities mixed with traditional techniques and purposes. For example, John Bunyan's *The Pilgrim's Progress* (1678) is a religious allegory of an ordinary man named Christian and his dangerous path to salvation (see NARRATIVE). Written in a plain and homely style, with lively dialogue among a cast of recognizable English folk in sometimes realistic settings, Christian's story is a dream vision, a common medieval genre, and it is like a romance to the extent that the hero undergoes the perils of his journey like a medieval knight, brandishing sword and shield to get to the heavenly city. *The Pilgrim's Progress* is also satiric in its depiction of time-serving and worldly characters (Mr. Wordly Wiseman, Pliable, Talkative) and places like Vanity Fair (see PARODY).

AMATORY NOVELS

One very popular format during the closing years of the seventeenth century and the opening of the eighteenth is amatory fiction, exemplified by Aphra Behn. Thematically, her works continue the tradition of prose ROMANCE extending from antiquity to late

sixteenth-century English narratives such as Philip Sidney's *Arcadia* (1590) and the widely read (in English translation) seventeenth-century French romances such as Honoré d'Urfé's *L'Astrée* (1607–33, *Astrée*) and Madeleine de Scudéry's *Artamène, ou le grand Cyrus* (1649–53, *Artamenes; or, The Great Cyrus*). Perhaps even more influential was *La Princesse de Clèves* (1678, *The Princess of Cleves*) by Madame de Lafayette, an intense and realistic psychological study of frustrated love. Behn's work, however, is more topical and stylistically straightforward (at times comic and always erotic), aimed at a wider audience than these long and rather mannered aristocratic works, and her narratives with one exception are novella length.

A more immediate source for amatory fiction in the early eighteenth century is the popular (anonymous) *Lettres Portugaises* (1669, *Portuguese Letters*), five letters in which a seduced and abandoned nun writes to the lover who betrayed her. The recurring plot of amatory fiction involves the seduction and betrayal of vulnerable women by predatory aristocrats, although in Behn's work there are a few reversals in which female characters are erotically dominant (see SEXUALITY). There lingers in Behn's fiction an interest in politics and in aristocratic honor and military glory; her male characters are often soldiers and powerful politicians. These themes are richly displayed in Behn's only full-length narrative, published in three separate parts, *Love Letters Between a Nobleman and His Sister* (1684–87). Based on a contemporary sexual scandal, *Love Letters* offers glamorized evocations of actual people as a decadent, corrupt elite struggles for pleasure and power, love and honor. This mixture of history and fiction is also part of the appeal of Behn's best known work, *Oroonoko, or, The Royal Slave* (1688), in which the narrator, Behn herself, claims to have witnessed events in Surinam in South America. The title character is an

African prince who escapes from slavery in Surinam only to be captured and tortured to a death that he endures stoically and heroically. Alternating the romantic and the exotic with the historical, Behn offers critical observations of aristocratic decadence and imperial cruelty and injustice even as her other novellas revel in glamorous and erotic attractions.

In the 1720s amatory fiction enjoyed great success, notably in the novels of Eliza Haywood, whose *Love in Excess* (1719) launched her career as the most prominent author in this genre. Haywood's novels illustrate the attractions of the amatory formula: vicarious participation in a world of thrilling illicit passion, the spectacle of suffering heroines, victims of their own irresistible sexuality and of attractive if villainous seducers. But Haywood's romances mark a sentimentalizing of the worldly cynicism of Behn's work; their emphasis is on the tormented pathos of a private psychosexuality rather than on the struggle for sexual dominance and political power. The emphasis falls on individuals, at times on middle-CLASS characters in urban settings, rather than on Behn's aristocrats. However, the so-called scandal chronicles she wrote, such as *Memoirs of a Certain Island Adjacent to the Kingdom of Utopia* (1725), are satirical exposés of sexually inflected corruption in high places. Haywood was imitating the extremely popular *The New Atalantis* (1709) of Delariviere Manley, whose work was more satiric and politically pointed even as it sprinkled its political scandals with tales of sexual misconduct among the ruling class.

FACT AND FICTION: PROTO-REALISM

Fact (however distorted by satire and political animus) and fiction are balanced in these works; many amatory and scandalous

works were subtitled "secret history"; other subtitles for novel-like narratives such as "history" and even "true history" are common. The single most popular narrative of these years, Daniel Defoe's *Robinson Crusoe* (1719–22), claims to be the memoirs of an actual person, "written by himself." *Robinson Crusoe* opens a vein of intensely realistic narrative that marks the foundation of what is now recognized as the English novel (see REALISM), but it also mixes fiction with aggressive claims of factuality. Defoe's title page describes the book as Robinson Crusoe's "strange surprising adventures." Defoe's achievement as one of the novel's founders is to evoke with unprecedented intensity and specificity the psychological as well as the physical difficulties of an isolated individual as he ponders the fate that brought him to his island. His meditations are PHILOSOPHICAL and deeply religious, since a rediscovered faith reconciles him to his predicament (see RELIGION). At the same time, Crusoe becomes a heroic figure, not only creating order and physical comfort on his island but, in his defeat of cannibals and mutineers later in the book, a master of his fate. His earlier predicament as a slave in North Africa and his daring escape dramatize his narrative's variety of theme and purpose. In its rendition of heroic feats, *Robinson Crusoe* resembles two of Defoe's other narratives; *Captain Singleton* (1720) and *Colonel Jack* (1722), one a pirate adventure story, the latter a tale of a street urchin who goes to America and becomes a planter, soldier, and merchant. Given its non-European settings, *Robinson Crusoe* also belongs to the genre of travel narrative, resembling Jonathan Swift's *Gulliver's Travels* (1726), which is a satirical fantasy and a parody of the genre, whose hero endures, like Crusoe, various extreme forms of danger in exotic lands, but whose personality is secondary to the satire Swift articulates through his adventures.

Robinson Crusoe has a unity of theme lacking in *Gulliver's Travels* in its focus on the personality of the protagonist. Defoe evokes a historically specific individual, born in 1632 in York of a German immigrant family, from "the middle state" or "the upper station of low life," as Crusoe's father identifies his social status at the beginning. Crusoe is at the same time a representative modern individual, struggling to make his way in the world and against nature, alone in a threatening society, fearful from his arrival on the island of unknown enemies. In that precise evocation of his hero, Defoe inaugurates the main subject and scope of what will be the modern novel in England (see HISTORY). That sociohistorical frame of reference is accompanied by a psychological intensity that is the essence of the amatory novel. So stories of sexual passion and stories of adventure share an interest in representing the interior lives of their protagonists. In *Moll Flanders* (1722) and *Roxana* (1722), Defoe illustrates this mixed mode, since both of these narratives have affinities with amatory fiction but give us narrator-heroines who achieve, for a time at least, forms of independence and personal identity through action and shrewd self-consciousness not granted to other suffering heroines. Born in Newgate Prison, Moll Flanders takes to crime later in life in the face of financial desperation; her narrative is a picaresque novel with elements of amatory fiction as young Moll is caught up in illicit passion with several men. *Roxana* has affinities with the scandal chronicles of Manley and Haywood, since the heroine is for a time a royal mistress as well as the lover of rich and powerful men. *Roxana* is also the most intensely psychological of all Defoe's narratives and represents a realistic recasting of the amatory novel as the heroine looks back with horror and remorse on her career as a rich courtesan (see MEMORY).

RICHARDSON AND FIELDING: THE RISE OF THE NOVEL

Female protagonists play a crucial role in the emerging English novel. In the patriarchal order of eighteenth-century England, a woman who achieves a measure of independence through transgressive experience such as illicit passion or, as in the case of Moll Flanders and Roxana, criminal activity, offers a subversive understanding of how female identity is constructed by social forces (see FEMINIST). In dramatizing this painful process, Defoe's two novels look forward to what may be the defining moment for the establishment of one main line of the novel in England, Samuel Richardson's *Pamela* (1740).

An EPISTOLARY novel, in which the servant heroine writes journal-like letters to her parents about Mr. B's (her master's) efforts to seduce her, *Pamela* was immensely popular, recognized as original by many readers. The novel's format was a technical innovation—Pamela writing just after moments of high excitement—that gives the narrative an immediacy and spontaneity that readers found compelling. Next to the predictable formulae and mechanical characterizations of amatory fiction, *Pamela* surprises by the complexity of its teenage narrator's responses to sexual danger. Her letters reveal a combination of attraction to her would-be seducer and fearful self-preservation of what she calls her "virtue" (the novel's subtitle is "Virtue Rewarded," since Pamela is eventually rewarded with marriage to her wealthy master). Richardson's profound innovation is to efface himself as narrator, to imagine a character's thoughts and feelings and to allow them free rein, thereby establishing an area of realistic moral ambiguity as well as vicarious involvement. Also crucial for Richardson's importance in the HISTORY of the novel is the dramatization of social class. As an "upper servant," the

companion to her master's late mother, Pamela is intensely literate, a great reader as well as writer. She is also standing up to the sexual exploitation of the lower classes by the gentry. Her master in effect kidnaps her and tries to rape her and then offers to make her his mistress, but Pamela resists, and in the end, in marrying Mr. B, she reforms him and, by extension, the ruling class which she now joins.

Not quite everyone was charmed by *Pamela*, and the history of the English novel at mid-century revolves around Richardson's champions and those who found his novel false to human nature as well as to social stereotypes (whereby female servants could only be sex objects) and hypocritical in its sanitizing of amatory romance. The most significant attacks on the novel were Henry Fielding's *Shamela* (1740), a short, hilarious parody of *Pamela*, and *Joseph Andrews* (1742), which traces the adventures of Pamela's "brother." *Shamela* is simply a shameless hypocrite who feigns virtuous resistance to her master's advances in order to manipulate him into marriage. *Shamela* reveals her motives openly in her letters to her mother, whereas Pamela, as she writes, discovers her conflicted emotions and struggles to preserve her personal integrity. For Fielding, human nature is transparent and recurrent, and his approach is satirical, out to reveal for comic effect how individuals rationalize their self-interested behavior. *Joseph Andrews* and Fielding's masterpiece *Tom Jones* (1749) provide panoramic views of English life and society, depicting characters across the social spectrum. Fielding's novels, like his great model, Cervantes's *Don Quixote*, feature a controlling narrator who guides readers through a complicated plot and comments satirically on the characters as he arranges comic scenes and draws out social and moral lessons. And yet if we consider the plots of both novels they seem at first to follow the

loose pattern of picaresque narrative. But the resolution of Fielding's novels derives from romance, since both titular heroes, Tom Jones and Joseph Andrews, are foundlings who are revealed in the end to have upper-class identities that make them worthy of happy and prosperous endings. In their opposition to the Richardsonian mode, Fielding's novels illustrate the diversity of narrative types in the eighteenth century and the continuing force of traditional forms and universalizing morality. In place of Defoe's and Richardson's individualized narrators who offer, first and foremost, experience of their subjectivities within an objective world, Fielding's novels stabilize aberrant individuality and align particular characters with comic types. As he surveys the various abuses of mid-eighteenth-century English life (e.g., the brutal ignorance of the rural gentry, the amoral decadence of the aristocracy, the repressive laws against poaching, the crime-infested highways, the incompetence of the judiciary, the exploitation of the lower clergy), Fielding's narrator filters this world through a comic perspective that provides moral knowledge and universalizing assurance. Ironic superiority to his characters is Fielding's stance, although that confident sociohistorical representation becomes deeply problematical in his last novel, *Amelia* (1751), where the moral chaos of contemporary reality seems to overwhelm narrative confidence so that the moral symmetry and universalizing comedy of the earlier novels goes by the board.

The eighteenth-century literary critic, Samuel Johnson, suggested that the difference between Richardson's and Fielding's novels lay in their conception of character: Fielding's he called "characters of manners," but Richardson's were "characters of nature, where a man must dive into the recesses of the human heart" (J. Boswell, 1901, *Life of Samuel Johnson*, ed. A. Glover, 366). What

Johnson saw is that Richardson's characters acquire a dramatic life of their own that goes beyond social and historical identity toward what Johnson and other critics of the time call "nature." Such psychological penetration is achieved by the intensity of his epistolary technique as it licenses his characters' obsessive introspection. Richardson's approach reached its perfection in *Clarissa, Or, The History of a Young Lady* (1747–48). Unlike its predecessor, *Clarissa* was less a popular than a critical sensation, recognized immediately as a narrative breakthrough and as a morally profound work; even Fielding wrote to his rival expressing admiration. Written in letters mainly to and from the central four characters—the heroine, the beautiful daughter of the wealthy upper-middle-class Harlowe family; Anna Howe, her friend and confidante; Robert Lovelace, an aristocratic suitor and practiced seducer; John Belford, his friend, fellow rake, and confidant—*Clarissa* transforms the amatory novel, achieving not only those psychological depths that eighteenth-century critics admired but also social-historical resonances. The heroine is at the center of a clash between a decadent aristocracy embodied in Lovelace and his friends, and a commercial upper bourgeoisie, the Harlowe family, seeking to enter the gentry, with *Clarissa* the individual who tries to preserve her moral integrity caught in the conflict.

Richardson's intent was didactic and religious, to frustrate readers who expected what he called "a light novel, or transitory romance," and to defend, as he said, the principles of morality and Christianity and to show the punishments that attend those who ignore those principles. *Clarissa* remains linked to amatory fiction in the fantasies that Lovelace, the arch rake and seducer, projects onto the incomparable but beleaguered *Clarissa*. Fascinated by the beautiful, brilliant, and pious young

woman, repelled by her avaricious family who seeks to marry her to a suitor who will further enrich them, Lovelace tricks her into running away with him, and the rest of the novel depicts over hundreds of pages his efforts to seduce her, which end in his drugging and raping her. She escapes and the end of the book is her drawn-out decline and death in which she achieves a saintly apotheosis. Such a plot summary is misleading in its MELODRAMA, since the book slowly develops complex psychological and moral dilemmas, so that, as Richardson discovered to his dismay, many early readers found his villain, Lovelace, extremely attractive, and some even wondered if *Clarissa* preferred her own will rather too much. Despite his didactic purposes, the effect of Richardson's novel is dramatic in a radical sense, with characters acquiring over the course of the novel complex and ambiguous identities that took even the author by surprise.

Lovelace is a rake, an experienced seducer whose conquests end up as prostitutes in the brothel to which he takes the unsuspecting *Clarissa*, and his erotic fantasies about her are a central feature of his personality. Overt erotic and even pornographic fiction was, however, fairly rare. The great exception is John Cleland's *Memoirs of a Woman of Pleasure* (1748–49), which traces the career of Fanny Hill, an orphan from Liverpool who comes to London and turns prostitute. Cleland gives Fanny an inventive knack for sexual description, with the sex act and organs evoked by a variety of descriptive devices. The male phallus is often an "engine" or mighty "machine," and the sex act is portrayed vividly, in heroic terms. But despite its elegant pornographic descriptions, *Fanny Hill* (as the novel is often called) is a conventional sequence of adventures featuring a young, sympathetic heroine that gives readers a panorama of social types in various forms of sexual expression

and features in the end the happy marriage of Fanny and her first love.

SATIRE AND THE NOVEL OF IDEAS

Next to Fielding's and Richardson's innovations during the middle of the eighteenth century, the novels of the Scottish author, Tobias Smollett, are more conventional as specifically British picaresque fictions. *Roderick Random* (1748) and *Peregrine Pickle* (1751) are close to the French and Spanish tradition of the genre in their almost amoral energy. Featuring an enormous and vivid variety of scene, action, and character, these novels defy summary. Their heroes struggle against a range of knaves and fools, rendered in the broadest caricature; both novels contain memorable comic characters in a characteristic English "humor" mode, such as Commodore Hawser Trunion in *Peregrine Pickle*, whose discourse and way of life are strictly nautical. *Roderick Random* is the better of the two books, as its Scottish provincial hero has to leave home and seeks fame and fortune in adventures in the British navy (based on Smollett's own experiences as a naval surgeon) and the French army, eventually returning to Britain, where with the help of his colorful uncle, the sailor Tom Bowling, he finds his long-lost father in Argentina and ends prosperous and happy. Roderick is an attractive character, unlike *Peregrine Pickle*, an amoral trickster and savage satirist whose story is formless but brutally amusing. Smollett's best novel was his last, published posthumously in 1771, *The Expedition of Humphry Clinker*, which is epistolary in form but otherwise unconventional. More of a satire than a novel, it follows the travels of Matt Bramble, a Welsh squire, and his family (and several characters who join the trip, including the titular hero) around the island of Britain. In the long letters the various

characters write as they travel any number of controversies of the day are criticized (e.g., the corruptions of urban life as experienced in London and Bath), and Matt and the eccentric Scotsman, Lieutenant Lismahago, dispute the relative merits of a traditional agrarian or a modern commercial society. *Humphry Clinker* is a novel where ideas are taken seriously and discussed at length. In this regard, it can be paired with Samuel Johnson's oriental tale, *Rasselas* (1759).

Rasselas is a philosophical tale in which the eponymous character, one of the princes of Abyssinia, escapes from the Happy Valley, where the royal progeny are imprisoned in what the prince finds an unsatisfactory paradise. Hearing about the outside world from his tutor, Imlac, *Rasselas* sets out to experience it and to make what he calls the "choice of life." The book is a series of philosophical dialogues in which the characters explore various scenes and issues in the world but find no final answers, and so at the end they return to the Happy Valley. Johnson's tale is short on characterization and indifferent to social and historical setting but rich in paradoxical wit and rhetorical articulation of opposing ideas. *Rasselas* is not a novel, although it was very popular with eighteenth-century readers. In *Humphry Clinker*, on the other hand, Matt, for all his satiric ferocity, discovers a long-lost son, the titular hero; his moral development in that relationship and others takes precedence in the end over the social and moral debates in the book. Matt alters slowly from a satirist into a man of feeling; his extreme condemnation of the world softens into acceptance and emotional connection. This subordination of ideas to character development is a defining feature of the novel as it emerges in the eighteenth century. Looking back, we can see that the primacy of character development is what strikes readers as novelistic in some of Defoe's narratives and that complexity of

character is what separates, for example, Richardson's novels from the amatory fiction of Haywood, and to some extent Fielding's *Tom Jones* from Smollett's picaresque romps.

WOMEN NOVELISTS AND CHARACTERS

The influence of the developmental approach to character appears vividly in the two novels in the mode of both Richardson and Fielding that Haywood produced in response to shifting tastes, *The History of Miss Betsy Thoughtless* (1751) and *The History of Jemmy and Jenny Jessamy* (1753), longer and more thoughtful works than her amatory fiction and directed by an approach in which young women become mature through their experience in the world. From mid-century and onward, thanks in large part to the influence of Richardson and Fielding, the novel becomes moralized, discarding the racy sexual excitement of the amatory formula as it treats the difficulties of coming to maturity for young women in a dangerous world. Haywood's *Betsy Thoughtless* resembles Fielding's *Tom Jones* in that she is slightly flawed, seeking excitement but retaining (just) her sexual honor and foolishly rejecting a worthy suitor, Truworth. Forced into an unhappy marriage by her brothers, she finds happiness at the end when her brutal husband conveniently dies, as does Truworth's wife. So, too, *Jemmy and Jenny Jessamy* traces the mundane difficulties of a young couple destined to a marriage delayed by jealousies and misunderstandings and rival relationships.

Novels written by women began to dominate the market for fiction in the 1740s and their numbers increased until the mid-1780s. These novels follow a young woman's entrance into the world where marriage is her only suitable fate and the feminine ideal

that she is expected to live up to is a passivity and chastity that bring moral elevation but can also involve intense suffering. The most extraordinary of these characters is Arabella, the heroine of Charlotte Lennox's *The Female Quixote* (1752). Like Cervantes's hero, she lives in an imaginary world constructed from her reading of seventeenth-century French romances. But Arabella, again like Quixote, is intelligent and perceptive within her romantic visions, and she acquires by them an independent identity. Lennox's novel implicitly evaluates her fantasies as exaggerated versions of the privileges granted to rich young women as objects of male desire. In the end, Arabella is disabused of her fantasies by a wise male doctor and turned away from romantic fantasy to marriage with her suitor.

Romantic love such as the female novel depicts holds out the possibility of free choice, and the novel of women's experience in the eighteenth century explores the chances of that freedom within the iron necessities of biology and patriarchal society. Often enough in this fiction, however, those necessities cancel female freedom, and suffering on a heroic scale is the result. Frances Sheridan's *Memoirs of Miss Sidney Biddulph* (1761) is the most extreme example of this rule. Married through parental pressure to a man she does not love after rejecting one she does on the strength of a false story, the heroine endures her husband's adultery and subsequent bankruptcy as well as the discovery that the story about her former suitor is false. Even after her husband dies and her former lover renews his suit, she rejects him again, victimized through all this by the machinations of two sexually aggressive female rivals. Sheridan's novel features unrelenting female misery and suffering. As such it offers the pleasures of sentimental identification, like *Clarissa* but without that novel's formal and moral complexities.

Frances Burney's *Evelina* (1778) brings together the novel of female suffering and the comic and satiric energies of Fielding and Smollett. The child of a seduced and abandoned woman, the heroine is allowed by her guardian to visit friends and her French grandmother in London. In a journal-like account of her experiences, she manages to be passive and modest but also satirically sharp in rendering the manners, aristocratic and lower-middle-class, of that world. Various dangers, including a predatory aristocratic seducer, menace *Evelina*, but in the end thanks to her beauty and steadfast virtue she marries the perfect nobleman, Lord Orville, and her father acknowledges his paternity when he finally meets her and is overwhelmed by her resemblance to her dead mother. *Evelina* is both sentimental and satiric, a rare and winning combination. Burney's two subsequent novels, *Cecilia* (1782) and *Camilla* (1796), suffer from melodramatic excess, although the former features a rich and satirical panorama of characters and scenes from upper-class life.

STERNE AND THE NOVEL

Laurence Sterne's *The Life and Opinions of Tristram Shandy* (1759–67) is, arguably, the most original eighteenth-century English novel, and as it appeared several volumes at a time in the 1760s it was a great success. Sterne followed it with a short novel, *A Sentimental Journey through France and Italy* (1768), which narrates the travels of Parson Yorick, a character who dies in the first volume of *Tristram Shandy*. As its title announces, *A Sentimental Journey* is a sentimental novel and may be said to initiate certain key features of the mode. A series of impressionistic sketches from Yorick's travels, it flouts the fullness of the representational ambitions of the emerging novel as

Yorick ignores the larger social-historical context and instead lingers on his particular whims, impressions, embarrassments, chance encounters, and flirtations, with some scenes provoking sentimental and comic reactions, and some verging on the erotic. There is nothing like a plot in these episodes, and in dwelling on his own reactions Yorick articulates the novel's primary interest in the individual self. At the same time, however, Yorick is aware of his own excessive self-absorption, and his sentimental experiences have comic resonances that undercut the sentimentality and reveal a selfish and absurd side to Sterne's traveler.

Tristram Shandy is in many ways also a sentimental novel; in many others like *A Sentimental Journey* it is a satire of sentiment and also a comic parody of the explanatory ambitions of the novel. *Tristram Shandy's* autobiographical narrator declares at the outset that he will seek to understand himself by tracing his life from the moment of his conception, but that requires presenting the history of his immediate family and the circumstances of his birth (see BILDUNGSROMAN). So the opening volumes of the book concern his father, Walter, and his uncle Toby, in the last days of Mrs. Shandy's pregnancy. Both these men are English humor characters, defined by their zany "hobby horses," Walter a retired merchant with elaborate and crackpot theories about everything, including the importance of names for children, and Toby a retired army captain obsessed after his wounding at the battle of Namur in 1695 with the science of fortifications and with constructing on his bowling green in miniature the progress of the wars in the Low Countries in the early eighteenth century. Since his father and uncle are crucial parts of his "life and opinions," Tristram takes hundreds of pages to arrive at the moment of his birth, and in fact his project of self-understanding is comically interrupted and digressive. And yet Tristram does

succeed in expressing himself, and he comes alive on the page. Like his father and uncle, his subjectivity exists by virtue of his impossible project of understanding everything about himself. Tristram's failures at self-understanding, along with the silly theories of his father and uncle, make them objects of satire but also of sympathy. *Tristram Shandy* marks a subversive *reductio ad absurdum* of the British eighteenth-century novel in which the sociohistorical world it has sought in different ways to understand and to represent is exchanged for personal and eccentric self-expression.

SENTIMENTAL NOVELS

Frances Burney's *Cecilia* (1782) is a sprawling examination of English society that anticipates in its breadth of satirical denunciation the novels of Charles Dickens. Written in a more philosophical style than *Evelina*, with a moralizing narrator rather like Johnson's in *Rasselas*, *Cecilia* is the story of a rich heiress who hopes to use her wealth to do good and to choose a moral life, but instead she finds a society where her philanthropy is useless in the face of systemic corruption. The book quickly turns into a novel of female suffering, as Cecilia Beverley is driven to actual madness and poverty after she marries the man she loves and violates the terms of her inheritance. The suffering woman in later eighteenth-century fiction, who seeks like Clarissa and Cecilia to choose her life and to achieve moral integrity, is often enough seduced, raped, abandoned, and abused. Cecilia's sad end records in melodramatic fashion the vicious circle novels often reveal whereby free individuals turn out to be the product of social forces that they cannot control. On the other hand, the suffering young woman is an object of pleasurable pity as she serves to arouse sentimental compassion.

The sentimental novel or the novel of sensibility, which includes to some extent many of the novels of women's suffering, flourishes from the mid-eighteenth century on, reflecting perhaps a compensation for the negative revelations about modern society and sociability that the novel comes to represent.

The hero of Sarah Fielding's *David Simple* (1744), for example, seeks a "real friend," but all he finds is self-interested betrayal in his fellow men. David resists becoming absorbed into this world, and eventually he rescues his long-lost brother and sister from dire poverty. Together with their spouses, they form a "little family of love," but in Fielding's sequel, *Volume the Last* (1753), after a series of ruinous events all the family dies, with David a Job-like figure at the end on his own deathbed. The antidote Fielding's novel proposes to a social order lacking in compassion or sociability is the compensatory fantasy of a suffering and uncomplaining hero. Other sentimental novels imagine similar paragons of philanthropy, such as Samuel Richardson's *Sir Charles Grandison* (1753–54), whose hero is prodigiously and perfectly virtuous and also himself a man of deep feeling whose eyes well up at the sight of injustice, just as his virtuous actions bring tears of joy to the other characters. More human and imperfect than Sir Charles is the narrator hero of Oliver Goldsmith's *The Vicar of Wakefield* (1766), Parson Primrose, who partly through his vanity and pride loses all he has at the hands of financial misfortune and of various swindlers and seducers of his daughters. Goldsmith's tale, however, is a moral fable rather than a novel, an eighteenth-century version of the Job story, with Primrose redeemed from poverty and prison (where he preaches to and reforms the inmates) by coming to his moral senses and through the good offices of an eccentric nobleman in

disguise, Sir William Thornhill, who in the happy ending marries one of Primrose's daughters.

The purest instance of the sentimental novel is Henry Mackenzie's *The Man of Feeling* (1771), vignettes from the life of the late Harley, culled from a fragmentary manuscript autobiography he left behind. In place of the representational fullness that the novels of Fielding and Richardson specialize in, Mackenzie's book focuses on moments of intense emotions cut off from any coherent plot, an implicit admission that novels cannot deal effectively with social and moral problems but only focus on subjective emotions. And Harley himself is mostly silent or in tears, unable to speak as he encounters objects of pity. One might also argue that the people Harley encounters—for two examples, a prostitute he meets in London, betrayed and abandoned by her lover, and an old soldier, his former neighbor, returned from India, where he was court-martialed for refusing to cooperate in the oppression of the natives—signify Mackenzie's dramatization of the failure of the eighteenth-century English novel's didactic project to meliorate social injustice.

SEE ALSO: Comedy/Tragedy, Decorum/Verisimilitude, Genre Theory, Historical Novel, Psychological Novel.

BIBLIOGRAPHY

- Armstrong, N. (1987), *Desire and Domestic Fiction*.
 Ballaster, R. (1992), *Seductive Forms*.
 Beasley, J.C. (1982), *Novels of the 1740s*.
 Bender, J. (1987), *Imagining the Penitentiary*.
 Castle, T. (1986), *Masquerade and Civilization*.
 Hunter, J.P. (1990), *Before Novels*.
 McKeon, M. (1987), *Origins of the English Novel 1600–1740*.
 McKillop, A.D. (1956), *Early Masters of English Fiction*.
 Mullan, J. (1988), *Sentiment and Sociability*.
 Paulson, R. (1969), *Satire and the Novel in Eighteenth-Century England*.
 Richetti, J. (1969), *Popular Fiction before Richardson*.
 Richetti, J., ed. (1996), *Cambridge Companion to the Eighteenth-Century Novel*.
 Richetti, J. (1999), *English Novel in History 1700–1780*.
 Todd, J. (1989), *Sign of Angellica*.
 Warner, W. (1998), *Licensing Entertainment*.
 Watt, I. (1957), *Rise of the Novel*.

British Isles (19th Century)

NICHOLAS DAMES

The nineteenth century was undoubtedly the era of the British novel's most famous authors, names that still function as touchstones in the history of fiction: Jane Austen, Walter Scott, Charles Dickens, George Eliot, and Thomas Hardy, to name only a few. It was an era that saw two broad developments that, while often contradictory in effect, were nonetheless subtly related. First, the rapid expansion of the production of novels, facilitated by technological advances in printing and distribution, and by increasing literacy (see PUBLISHING). Second, the fitful but rapid ascent of the novel's cultural stature from popular entertainment to major art form. When Victorian observers were tempted to take a broad view of the century's developments in fiction they tended to notice both changes. In 1859 David Masson noted that it was no longer possible for a critic to read the entire corpus of contemporary novels, estimating around 7,000 novels published in the previous forty years. Despite, or because of, this deluge of fiction, Masson's book was a proclamation of the aesthetic prestige of the modern novel. By the end of the century it was less possible to mingle admiration for the novel's spread with praise of its aesthetic excellence, but the nineteenth century is nonetheless

remarkable for its ability to hold both measurable popularity and aesthetic value in tension. The result was a unique cultural consensus shared enough to be a Victorian truism: that the novel was the best *and* most representative literary form of the time.

That cultural consensus was mirrored in the equally notable topical and technical similarity of most Victorian novels, which might be called a formal consensus. To a greater degree than the formally inventive fiction of the previous century—and, of course, than the experimental fiction of the twentieth century—nineteenth-century British fiction was stable in its manner, its technical resources, its thematic material, even its range of character types. REALISM, of an elastic but nonetheless recognizable kind, was the default mode of fiction in the century—recognizable characters (of a broad middle class, usually), familiar spaces (with in Britain, particularly southern England), a plain style not devoid of humor but generally unostentatious, and a political stance that was neither revolutionary nor angrily conservative. To later observers this broad formal consensus would seem restrictive enough to be an amusing stereotype; looking back at Victorian fiction in the calamitous year of 1929, Ford Madox Ford mockingly referred to its manner as “the English Nuvvle” (1929, *The English Novel*, 111). The unfairness of tendentious attacks like these by modernist writers—who were emancipated from many Victorian social strictures but had as a result lost a mass audience—should not blind us to the fact that the short-lived but fertile consensus of Victorian fiction was an effort to fit narrative art within the dynamics of a liberal, increasingly democratic society (see MODERNISM). The Victorian novel was an art that would be both limited and generous, both popular and of independent aesthetic value, both entertaining and instructive—in short, an art that could largely speak of and to a whole society.

Elizabeth Ermarth has termed it an art of consensus. The successes and failures of nineteenth-century fiction to imagine and address this whole society are a crucial part of the HISTORY of the novel.

THE MATERIAL TEXTS

Despite the shared range of form and thematics, the physical appearance of the nineteenth-century novel was surprisingly varied. The novel was much less a recognizable “thing” than it is today. It existed in a bewildering variety of formats, and was rarely identical with a single “book.” While it has been common for scholars to stress one particular publication format as the essential format for nineteenth-century fiction, too many competing and overlapping formats existed to consider any one the root, or basic, version. At one end of the spectrum, representing the more ephemeral and cheap versions, there was the Victorian serial number: novels published in weekly or, more frequently, monthly installments, each number encased in paper wrappers and spanning forty or so pages of text and illustration (see SERIALIZATION). The practice took hold in Britain with the stunning success of Dickens’s *The Posthumous Papers of the Pickwick Club* (1836–37), which started as a series of sketches on sport and then emerged into a novel with a stable cast of comic characters. For roughly the next thirty years British fiction was often issued serially, including such notable novels as William Makepeace Thackeray’s *Vanity Fair* (1847–48). The connection between serial fiction and the larger world of periodical publication, from newspapers to journals, was strong and varied in shape. Bradbury and Evans, the publisher of *Vanity Fair*, was also the firm issuing *Punch*, the popular humor magazine; the serial numbers of Thackeray’s novel claimed on their

frontispiece that they were “published at the Punch office.” Elsewhere the connection was more explicit: a range of weekly and monthly periodicals, such as the monthly *Cornhill Magazine*, or the weeklies *Household Words* and *All the Year Round*, regularly included installments of new fiction in their issues and often had noted novelists (Thackeray at the *Cornhill*, Dickens at the latter two weeklies) as editors or proprietors. The *Cornhill*, perhaps the major literary organ of the 1860s and 1870s, serialized Anthony Trollope’s *Framley Parsonage* (1860–61), Elizabeth Gaskell’s *Wives and Daughters* (1864–66), and Hardy’s *Far From the Madding Crowd* (1874). As Laurel Brake, among other scholars of book history, has demonstrated, the nineteenth-century novel, particularly the mid-Victorian novel, existed in an intimate relationship with the full range of paraliterary and nonliterary periodicals.

Serial publication was, in economic terms, a response to the artificially high price of books in the nineteenth century. It allowed middle-class readers to satisfy their taste for wide, often indiscriminate reading of fiction. This kind of reading practice has come to be known as “extensive” reading, the casual consumption of numerous texts, as opposed to “intensive” reading, or the careful, devoted consumption of a small set of texts such as scripture. While extensive reading increasingly became a matter of concern among some social commentators, the publishing market devised multiple means to enable its spread.

Aside from serial publication, the other signal Victorian distribution method was the circulating library (see LIBRARIES). Large chains such as Mudie’s or W. H. Smith’s maintained large collections of fiction in English and allowed subscribers, at the reasonable price of one guinea (one pound and one shilling) a year, to take out a volume at a time. The popularity of the subscription library—the fact that renting rather than

buying fiction was a cultural norm for much of the century—allowed British publishers to maintain an artificially high price for their favored format, the three-volume novel or the “three-decker,” which the libraries could afford to pay. As a result, novelists in the second half of the nineteenth century often wrote for the three-volume form: 900 pages of text in three 300-page volumes, or between 150,000 and 200,000 words total.

If the aesthetic result of serial publication was a freedom to experiment with elongated plot structures and recurring cliffhangers, the three-volume format caused the unusual length and amplitude of British fiction. The famous complaint of George Gissing in *New Grub Street* (1891)—that the three-decker was an exercise in tedium, made possible by the use of large margins, frequent and unnecessary dialogue, and tiresome descriptions of locale—became commonplace as the century progressed. Another result was that circulating libraries could act as de facto censors, refusing to buy novels whose morality was suspect (see CENSORSHIP). Novels by Hardy and George Moore, for instance, were either revised or entirely suppressed because of the reluctance of Mudie’s to buy them. Until the 1890s, however, the three-decker seemed eternal. Efforts by publishers to offer novels in one volume were met with skepticism by a public used to consider single volumes as the format for cheap, badly designed reproductions of popular fiction and unused to the idea of purchasing novels in large quantities.

The serial numbers, magazine installments, and volumes that made up the nineteenth-century novel were composite items. Illustration was frequent, and well-known illustrators such as George Cruikshank (1792–1878) or John Everett Millais (1829–1926) were often as much the source of a novel’s appeal as the text itself (see ILLUSTRATED). Novels were subdivided texts,

articulated into separate volumes, separate numbers, and separate chapters. Page design could be widely different, from the large type and generous white spaces of the three-decker to the cramped, eye-strain-producing type of a serial number (see *TYPOGRAPHY*). Cost varied as well. The same novel could be available simultaneously in a cheap serial version, an expensive book version, and an even cheaper reproduced version. The overall lesson of the physicality of nineteenth-century fiction is that the novel was, vividly, a collaborative and commercial enterprise, a commodity designed with a great deal of flexibility and ingenuity for as wide a swath as possible of the literate public. It was a quintessential product of liberal society.

THE AUTHORS

Although varied in many respects, some useful generalizations can be made about prominent nineteenth-century novelists. The most notable aspect of nineteenth-century British novelists is the large presence, almost a dominance, of women. Native and continental observers alike commented on the phenomenon of the British woman writer. While many notable female authors hid their gender under a pseudonym, such as “Currer Bell” (Charlotte Brontë) or “George Eliot” (Mary Ann Evans), as the century wore on female authorship was seen as a norm, if not *the* norm. A broad middle-class identity seems to have been another norm, as the paternal occupations of some major novelists suggest: naval bureaucrat (Dickens), estate manager (Eliot), impecunious barrister (Trollope), tailor and outfitter (George Meredith), landscape painter (Wilkie Collins), solicitor and hack writer (Mary Elizabeth Braddon), Unitarian minister (Gaskell), Anglican rector (Austen), Anglican curate (the Brontë sisters). Often this class identity was far less stable than

such occupations would suggest. Dickens and Trollope suffered the results of paternal irresponsibility and failure and lived much closer to the lower margin of social respectability than their later circumstances suggested. Thackeray, on the other hand, was educated among a higher social class than his family fortune might have indicated, and for much of his adulthood he was conscious of an invisible barrier separating him from the society he nonetheless partially inhabited. Titles were uncommon additions to authorial names in the period, despite the baronetcies granted to Scott and Edward Bulwer-Lytton and the eventual elevation to the Earl of Beaconsfield of Benjamin Disraeli. University education was by no means the norm among male authors. More frequent was some deep experience of social instability or some firmly rooted ambivalence—a lack of comfort, a consciousness of difference—about the social realms they knew.

Nineteenth-century novelists came to novel-writing by a large variety of psychological and vocational paths, but their literary apprenticeships, particularly among the first wave of Victorian novelists, often looked similar, since some grounding in journalistic or occasional writing was common. The careers of several prominent novelists began with compilations of “sketch” writing, the short, ruminative, humorous pieces on daily life that nineteenth-century newspapers and periodicals demanded. Dickens’s *Sketches by Boz* (1836), Thackeray’s *Book of Snobs* (1846–47), and Eliot’s *Scenes of Clerical Life* (serialization 1857, pub. 1858) helped launch their authors’ respective careers, while Gaskell’s *Cranford* (1851–53) cemented her reputation. The model for these sketch collections remained the popular set of rural sketches by Mary Russell Mitford, *Our Village* (1824–32). As Mitford’s example suggests, sketches trained writers in discursive prose:

description, a casual or offhand manner, and telling observation (see NARRATIVE TECHNIQUE). Given that sketches lacked plot, the element that attracted the reader was the writer's style or tone, the distinctiveness of the authorial voice. The most talented Victorian novelists were able, through the sketch, to develop signature voice styles, which could then be applied to larger canvases. The result was that novelists were not trained to produce plots so much as prose—yet another factor influencing the amplitude and length of the period's novels.

Mitford's example was instructive in its theme as well. *Our Village* was a sketch collection that, while not wholly fictional, introduced readers to a manner of life that seemed fictional: rural Berkshire existence, drawn with careful detail and an incipient nostalgia. The sense that *Our Village* looked backward, that it was a history of the present seen from the vantage point of its imminent disappearance, played a role in forming a taste for literary depictions of evanescent, passing social tableaux. It is worth noting that many of the authors whose works define Victorian fiction—Gaskell, Thackeray, Dickens, Trollope, C. Brontë, Eliot—were not, by birth, "Victorian" at all. They were born before the major technological and social changes of the 1830s and 1840s. The world of their childhood had disappeared decisively by the time they were publishing their major novels, a change signaled in many mid-Victorian narratives by the encroachment of the railroad upon sleepy rural towns. Open nostalgic yearning for the days of coach travel, the days before industrialization, or the days of their childhood animate many of the major novels of these writers (see MEMORY). As a result, one salient peculiarity of Victorian fiction is how often the setting of the novel antedates the novel's publication by thirty or more years. Dickens's *David Copperfield* (1849–50), Bulwer-Lytton's *My Novel* (1850–53), and

Eliot's *Mill on the Floss* (1860) were affectionate portrayals of a vanishing world. The success of Hardy's later Wessex novels depended in large part upon his tactile depictions of a rural world caught at the moment immediately prior to its disappearance.

Starting with sketches, progressing to long narratives of personal development set in the recent past, the mid-nineteenth-century novelist could be accused of being only an observer, a miner of personal memories, lacking in imagination, fancy, or philosophical gravitas. The dilemma—how to transcend the merely personal?—was solved by the widespread adoption of HISTORICAL fiction, a genre that almost all major novelists of the period tried at least once. The model was Scott, acknowledged as the century progressed as the progenitor of modern fiction. Masson's *British Novelists and their Styles* starts with Scott, wiping the historical slate clean of Samuel Richardson, Henry Fielding, and Laurence Sterne. Historical fictions were a transparent attempt to channel the energies of nostalgia in a more challenging, more aesthetically august manner, announcing the author's arrival as a major cultural figure, an inheritor of Scott's mantle, rather than simply a storyteller. Although many were acclaimed at the time as the pinnacle of the novelist's art, few of these mid- and late career novels are widely read today. Thackeray's *Henry Esmond* (1852), Eliot's *Romola* (1862–63), Gaskell's *Sylvia's Lovers* (1863), and Hardy's *The Trumpet-Major* (1880) represent a novelistic ambition that posterity has had difficulty recognizing, although each can be understood as an essential element in the career of the nineteenth-century novelist.

THE REALIST CONSENSUS

During the initial years of the nineteenth century, DOMESTIC realism was but one genre

among a host of competing options. The Austenian novel of restricted country settings, exploring the interactions between a handful of families belonging to the quasi-gentry, was surrounded in the marketplace by the GOTHIC novel. Ann Radcliffe's novels made terror, ghosts, and the haunted houses of aristocrats staples of the fictional imagination well past their publication dates. Mary Shelley's *Frankenstein* (1818) appeared in the same year as the posthumous publication of Austen's *Northanger Abbey* and *Persuasion*. As late as 1820, when Charles Maturin's *Melmoth the Wanderer* appeared, the Gothic mode was a live possibility.

During the Napoleonic Wars (1803–15), extremes of political opinion were fought in fictional form, from the Jacobin or radical novels of William Godwin and Elizabeth Inchbald to the conservative, evangelical novels of Hannah More (see RELIGION). The heated proto-anarchism of Godwin's *Things as they are; or, The Adventures of Caleb Williams* (1794) found a match in More's priggish *Coelebs in Search of a Wife* (1808) or Mary Brunton's *Self-Control* (1811). Scott's historical novels of eighteenth-century Jacobite rebellions were at the forefront of market and critical success, and they rode a crest of so-called "NATIONAL novels," which took the reader to the peripheries of the British Isles: Maria Edgeworth's *Castle Rackrent* (1800), Sydney Morgan's *The Wild Irish Girl* (1806), and, most prominent among them, Scott's *Waverley* (1814), *The Heart of Midlothian* (1818), and *The Bride of Lammermoor* (1819). In the 1820s another crucial subgenre, the "silver-fork novel," presented detailed, even lavish, descriptions of urban, dandyish aristocratic life. Catherine Gore was the acknowledged master of the genre, but important Victorian novelists began their careers in the genre, Disraeli with *Vivian Grey* (1826) and Bulwer-Lytton with *Pelham* (1828).

Put briefly, British fiction from the onset of war with France to the time of Victoria's accession in 1837 was a welter of distinct, outlandish genres, each with their own set of acknowledged classics, each exotic in relation to a middle-class readership, whether in terms of class (silver-fork fiction), geography (the Gothic, national novels), religion (the Catholic trappings of the Gothic, the evangelicalism of More and others), or political viewpoints (Jacobin and anti-Jacobin fiction). From the late 1830s on, this welter was replaced by the relatively stable consensus of domestic realism that would dominate British fiction for the next fifty years. Although British critics and novelists would continue to describe Scott as their most important ancestor, in practice the school of Austen and Mitford had perhaps even more influence. How and why this occurred has remained one of the central questions in the history of British fiction. One answer is that, as a result of the hardening or self-stereotyping of these various genres, they laid themselves open to the kind of PARODY that was always a part of the toolkit of Victorian writers. Making fun of Gothic or silver-fork fiction, in the interests of a common-sense, disenchanting realism, was a possibility that lingered long past the active life of those genres.

A more specific answer would be to look at the last, and most popular, of these early nineteenth-century fictional subgenres: the "Newgate," or crime novel, named after the famous prison, and the response to Newgate fiction by emerging writers of the 1830s and 1840s (see DETECTIVE). Bulwer-Lytton's *Eugene Aram* (1832) and W. H. Ainsworth's *Jack Sheppard* (1839) were biographies of dashing, successful, dangerous criminals, and runaway successes themselves. *Jack Sheppard* inspired a stage play, popular songs, and even, so it was claimed by the guilty party, the murder of Lord William Russell, a former Whig MP. The Newgate fad

was short-lived, but the attacks and revisions it elicited were more influential. Dickens's *Oliver Twist* (1837–39) and Thackeray's *Catherine* (1839–40) were immediate attempts to mock, or undo, the genre. Thackeray's was openly parodic, while Dickens's was a careful unmasking of what he felt to be the essentially immoral appeal of Newgate fiction. In *Oliver Twist*, an inherently good young boy is threatened but never corrupted by a criminal network from which he is saved by the interventions of decent middle-class figures. The novel places a cordon sanitaire between the decrepit world of London crime—Fagin the Jewish “fence,” Sikes the brutal thief and pimp—and what is presented as the ordinary, sane, familial world of suburban decency. The decency that saves Oliver is not rooted in the law, which decisively fails him, or government, which attempted to starve him. It is essentially private, an affair of individual morals and individual actions. In contrast to the salacious appeal of Newgate fiction, Dickens offers a moral fiction in which a calm, reasonable, private world triumphs over the public mess of law and crime.

The victory of private middle-class morality in *Oliver Twist* is also a victory of a certain literary mode, even if the very popularity of the novel depended on its most Newgate-like elements, such as Sikes's brutal murder of the prostitute Nancy or the trial of Fagin. That mode was domestic realism. The heroes and anti-heroes of early nineteenth-century fiction—Newgate criminals, the parvenus of silver-fork fiction, the ruthless aristocrats of Gothic fiction—are decisively separated in Victorian fiction from the private normality they threaten. These are often memorable figures: Thackeray's Becky Sharp (*Vanity Fair*), C. Brontë's Rochester (*Jane Eyre*, 1847), E. Brontë's Heathcliff (*Wuthering Heights*, 1847), Collins's Count Fosco (*The Woman in White*, 1859–60), Trollope's Melmotte (*The Way We Live Now*, 1875)—

even Bram Stoker's eponymous Dracula (1897). They are all unsuited for domestic life. Nationally or racially Other, by temperament or training too large for the settings that contain them, they are the force that the plot of their novel will either eliminate, tame, or reduce to size in the interests of a literary mode that has no place for such figures and no interest in the melodramatic possibilities they present (see MELODRAMA).

Lest this seem like only a loss, it is useful to remember what a tremendous gain this also was, and how the formation of the realist consensus in the late 1830s and early 1840s enabled some of the most penetrating and lasting investigations into psychology and society known to European, or even world, literature. The term “PSYCHOLOGICAL NOVEL” was first used by Eliot, in an 1855 review, to reflect the sheer talkiness of novels at that moment, with their concentration on inner states and intimate relations (“Belles Lettres,” *Westminster Review* 64:288). The label should not mislead us. The psychology of Victorian fiction is a strongly social one, oriented toward how selves negotiate the demands, and even the simple presence, of others. It is strongly epistemological: its questions are, how do we know the world, and how much of it is truly knowable? How much do we need to know of others in order to act wisely? And how much do we need to know of ourselves in order to know others? This is a psychology of liberal society: a psychology of the self in the context of others who must be managed, negotiated with, partnered with, thwarted, but most of all tolerated. The sheer bulk and complexity of such masterworks as Dickens's *Bleak House* (1852–53) was necessitated by the socially panoramic scale—from the aristocratic Dedlocks to the crossing-sweeper Jo—of such a liberal vision, as well as the effort to *connect* such disparate social realms.

The first premise of such an epistemological psychology is *seeing*. What do we not

see, and what should we see? The importance of vision gave realist fiction both a formal technique and an ethics. Description of things normally hidden from view becomes a moral duty. In its political form, description, as in Gaskell's *Mary Barton* (1848), serves to introduce the presumably middle-class reader to the horrors of industrial wage-labor and thereby to humanize individuals whose class difference renders them politically mute. James Buzard has termed this impulse "autoethnographic," or the Victorian novel's impulse to map the unknown spaces of its native land. Gaskell takes her reader through the cellars of Manchester to witness the living conditions of industrialism's poorest subjects to invite the necessary outcome of an epistemology of seeing: sympathy. Sympathy was the primary ethic of Victorian realism, and the means used to elicit it were far from the plotted melodramas of the Gothic or anti-Jacobin modes. Instead, careful description, particularly of milieux or environments, would perform the task of what Gaskell, in the preface to *Mary Barton*, called giving "utterance to the agony which, from time to time, convulses this dumb people." Rather than heroes or anti-heroes, Victorian realism sought a reader's identification with its central characters and a sympathy which would bypass the barriers of class or self-interest.

Sympathy, or identification, demanded careful management, and the strictures of domestic realism existed in large part to make such identification possible. The fantastic or supernatural was barred; if present, it was exposed as a ruse. The TIME frame of Victorian novels was tailored to the temporality of human projects, something on the order of several months to two or three years was the normative time span of domestic realism, time in which human plans could be formed, complicated, and brought to fruition, but not time enough for the difficulties of biological aging or decay. The prevalence

of this time span was partly created by the importance of courtship in the period's fiction, which functioned as an ideal form of human plan. Unlike the far-flung locales of the century's earlier genres, domestic realism was xenophobic in comparison. As Franco Moretti has demonstrated, Victorian novels, taking the lead from Austen, retreat to a Midlands or southern English setting, except when problematic characters need to be sent abroad in order to be erased from the plot (see REGIONAL). Plot recedes in importance, dispersed into multiple plots, as in serial fictions, or dissipated by a concentration on motive rather than action. The central examples of domestic realism—Thackeray's *Pendennis* (1848–50) and *The Newcomes* (1853–55), Trollope's six-novel Barchester series (1855–67), Margaret Oliphant's six-novel Carlingford series (1863–76)—were long, discursive texts that concentrated on the nuances of social psychology in familiar English settings.

The artistic pinnacle of domestic realism, Eliot's *Middlemarch* (1871–72), was also in some sense its undoing. Eliot's probing of the conditions of sympathy enabled her to depict its limits and its failures, be they psychological self-deceptions or political inefficacy. Eliot's characters are generally well-meaning, in a very basic sense, but their self-ignorance leads them into inextricable social complexities. Eliot complicates the process of knowing that other domestic novels took for granted. In the sinuous and elaborate qualifications offered by her narrator, knowing becomes a difficult balancing act between gauging possibilities based on insufficient information and dealing with an excess of information that clouds judgment. What domestic realism tended to narrate as a simple matter, such as a young girl's desire to marry, becomes in Eliot a compound of complex ambivalences mixing social, psychological, and even physiological determinants. The result is a

distended narrative, since all actions need careful, nuanced explanation, and even the destinies of two individuals in a small Midlands town, the scientist Tertius Lydgate and the passionate but thwarted Dorothea Brooke, require situating in a vast network of individuals. Realism along these lines seemed scarcely possible. At the very least it is dauntingly intricate and demanding of both author and reader. As Henry James put it in his review of *Middlemarch*: “If we write novels so, how shall we write History?” (1956, *The Future of the Novel*, ed. L. Edel, 89).

THE CONSENSUS UNRAVELED

The first signs of the undoing of the realist consensus appeared as early as 1859, with *All the Year Round*'s first installment of Collins's *The Woman in White*. Virtually overnight a new subgenre, the “sensation novel,” seized the public imagination and the publishing industry. Equally successful versions soon followed, such as Ellen Wood's *East Lynne* (1861) and Braddon's *Lady Audley's Secret* (1862). The sensation novel was in many ways tethered to realism; its settings were no less domestic and, rather than any supernatural element, they turned more often to contemporary sciences, particularly physiology and psychological theories of various kinds. Sensation fiction reminded critics of the enduring power of subgenres and revealed an even wider reading public than had been suspected, a public for whom the elongated plots and epistemological complications of domestic realism was too slow. Collins, for one, had recognized this demographic shift as early as 1858 in a *Household Words* article called “The Unknown Publicentury.”

The sensation novel fad waned by the early 1870s, but its lesson endured. Domestic, psychological realism was not the only or even, perhaps, the optimal fictional mode,

and a growing reading public, expanded by the development of national education, would result in a market fractured yet again into subgenres and distinct types. In the years to come this lesson would be borne out by the difficult, epigrammatic social comedies of Meredith; popular detective fiction, as represented by Arthur Conan Doyle's Sherlock Holmes stories; novels set in exotic imperial locales by writers as different in orientation as Rudyard Kipling, H. Rider Haggard, and Ouida; adventure stories as crafted by Robert Louis Stevenson. These and other options made domestic realism only one possibility among many. For those who, like Gissing, insisted on practicing a traditional realism still, the mode metamorphosed from a questing epistemology to a stern, despairing, indicative tone that described “the way things are” at its most forbidding and inalterable. A further blow was dealt by the sudden collapse of the three-volume novel in 1894, as a result of the collaborative decision of circulating libraries to refuse to pay the inflated price publishers had traditionally asked for new three-deckers. As the century ended, British fiction was as fractured and fractious as it had been at its start. Domestic realism, the century's greatest and most characteristic mode, began to reinvent itself. That reinvention, however, came at the cost of its loss of widespread cultural currency. The psychological novel mutated into the modernist art novel.

SEE ALSO: Decadent Novel, Gender Theory, Naturalism, Photography, Reprints.

BIBLIOGRAPHY

- Armstrong, N. (1987), *Desire and Domestic Fiction*.
 Beer, G. (1983), *Darwin's Plots*.
 Brake, L. (2001), *Print in Transition, 1850–1910*.
 Buzard, J. (2005), *Disorienting Fiction*.
 Dames, N. (2001), *Amnesiac Selves*.

- Ermarth, E. (1983), *Realism and Consensus*.
- Feltes, N.N. (1986), *Modes of Production of Victorian Novels*.
- Gallagher, C. (1985), *Industrial Reformation of English Fiction*.
- Hack, D. (2005), *Material Interests of the Victorian Novel*.
- Hughes, L. and Lund, M. (1991), *Victorian Serial*.
- Jaffe, A. (2000), *Scenes of Sympathy*.
- Jordan, J. and Patten, R., eds. (1995), *Literature in the Marketplace*.
- Keen, S. (2007), *Empathy and the Novel*.
- Levine, G. (1981), *Realistic Imagination*.
- Masson, D. (1859), *British Novelists and their Styles*.
- Moretti, F. (1998), *Atlas of the European Novel, 1800–1900*.
- Poovey, M. (1989), *Uneven Developments*.
- Sutherland, J. (1976), *Victorian Novelists and Publishers*.

British Isles (20th Century)

JOHN MARX

In the twentieth century, prose fiction circulated in a highly stratified literary marketplace. To grapple with “the novel” in this century, therefore, is to come to grips with the form’s plurality. Publishers and critics sorted an ever-greater quantity of novels into ever-proliferating categories of GENRE and aesthetic type for an ever-more diverse readership. Such differentiation was well underway in the Victorian era, which was already busily generating reproducible modes, including the DETECTIVE NOVEL and the imperial ROMANCE. In the twentieth century, however, the production and reproduction of genres became subject to new institutional forces as publishers and periodicals competed and collaborated with new university programs in literature to codify, contest, and disseminate literary tastes (see NOVEL THEORY, 20TH C.). If London remained the organizational hub for an increasingly global book trade, the British university was responsible for formulating and

then exporting a discipline organized around a canon of English literature. That canon’s exact parameters were frequently disputed, however, depending on who was speaking and from where.

A substantial amount of what London published and Cambridge privileged was fiction that promised to explain how cosmopolitan institutions including the book trade were altering language and culture within Britain and around the world. This was not the only change that the novel confronted, for new media ranging from film to the internet threatened to make print fiction a thing of the past. As it turned out, the novel’s highly segmented market proved remarkably resilient. While certain sorts of novels acquired newly privileged cultural status thanks to English department curricula, others benefited from the publicity of international literary competitions including the headline-grabbing Booker Prize, and still others thrived thanks to one-click ordering from online retailers such as Amazon.

THE MODERNIST MARKET FOR NOVELS

In its very form, *Lord Jim* (1900) by Joseph Conrad presents the increasing segmentation of the literary marketplace. The book’s first half is a dense study in professional responsibility and imperial politics. Character motivation and descriptive language alike share a “magnificent vagueness,” to quote the narrator, Marlow, “a glorious indefiniteness” that readers have learned to recognize not only as particularly Conradian but also as more generally indicating the pleasures of modernist textual difficulty (chap. 11). The novel’s second half promises starkly contrasting pleasures: it features pirates in search of buried treasure, a white man’s love affair with a tropical maiden, and a heroic stand-off. This is the stuff of

what Fredric Jameson calls “the various ‘degraded’ subgenres into which mass culture” is carved up (1981, *Political Unconscious*, 207). Conrad’s fiction binds even as it differentiates high literary and popular forms. *The Secret Agent* (1907), with its story of anarchists attempting to blow up the Greenwich Observatory, is as much a modernist classic as a thriller akin to John Buchan’s *The Thirty-Nine Steps* (1915), Eric Ambler’s *Epitaph for a Spy* (1938), and John le Carré’s *The Spy Who Came in From the Cold* (1963), all of which proved eminently adaptable to film (see ADAPTATION). As Padmini Mongia reminds us, Conrad is thought of as a British novelist “associated with the ‘third world’” precisely because he lends ambiguity to the imperial adventure tales of the Victorian age (2005, “Between Men,” in *Conrad in the Twenty-First Century*, ed. P. Mallios, et al., 98). As foils or fore-runners, his novels are a presence in post-colonial fictions by writers from Chinua Achebe to Arundhati Roy. *Lord Jim* not only signals the fragmenting of British fiction in the twentieth century, but also its globalization.

Both of these tendencies were surely aided by turn-of-the-twentieth-century overhauling of the book business. Publishers turned away from expensive three-volume “triple-deckers” priced for lending LIBRARIES in favor of cheaper single-volume novels priced for individual readers (see PUBLISHING). Both Peter Keating and Thomas Stryczak recount how publishers negotiated this transition and focused on more neatly specified audiences. The result, Henry James observes, was a marketplace “subdivided as a chess-board, with each little square confessing only to its own *kind* of accessibility” (1898, “American Letters,” in *Literary Criticism*, ed. L. Edel, 653). Consuming fiction in this environment is not only early twentieth-century literature’s precondition, but also one of its themes. Jennifer Wicke identifies reflexivity in the

bookstall scenes of James Joyce’s *Ulysses* (1922) and in Virginia Woolf’s *Mrs. Dalloway* (1925), whose signature opening description of a high street in London is a “prism to point to the multiple strands of the market” (14).

This market thrived in part because of Victorian educational reform. According to Alexis Weedon, the reading public in England and Wales more than tripled between 1841 and 1901, and the imperial audience for fiction grew rapidly too (2003, *Victorian Publishing*, 51). Ann Ardis notes that women writers and readers were widely perceived as the biggest winners of mass literacy: “New publishing houses, new audiences for fiction, new publication formats: all were seen to give women writers . . . a distinct advantage in the literary marketplace” (43). One result was New Woman fiction, a turn-of-the-century mode whose experimental styles and scandalous representations of sexually active working women excited readers and prepared them for the politics and prose of MODERNISM. The New Woman and her novels circulated globally: novels by authors from the British Isles such as Sarah Grand’s *The Heavenly Twins* (1893), H. G. Wells’s *Ann Veronica* (1909), and Dorothy Richardson’s multi-volume *Pilgrimage* (1915–38) belong on shelves alongside fictions by South Asian writers including Krupabai Satthianadhan’s *Kamala* (1894), G. Ishvani’s *Girl in Bombay* (1947), and works by writers from China such as Eileen Chang’s novella *The Golden Cangue* (1943).

COSMOPOLITAN BRITISH FICTION

The New Woman novel helped establish an expectation that revised styles of writing would make visible revised social relations. Urban tomes such as Woolf’s *Mrs. Dalloway* and Joyce’s *Ulysses* exemplify this rule by

describing the nitty-gritty of city life in a manner that focuses attention on literary technique. *Mrs. Dalloway* gives one corner of London a neighborhood feel by intertwining observations attributed to multiple characters. *Ulysses* anchors its fragmented narrative in place with references of varying obscurity to locations within Dublin (see REGIONAL NOVEL). At the same time, the novel plugs Dublin into a world of letters by referring to written works from an engagingly heterogeneous archive. What *Ulysses* and *Mrs. Dalloway* do for the city, Woolf's *To the Lighthouse* (1927) and Joyce's *A Portrait of the Artist as a Young Man* (1916) do for the self. In Erich Auerbach's account of Woolf's "stylistic peculiarity," *To the Lighthouse* synthesizes "intricacies of life," manifests "the dreamlike wealth of a process of consciousness," and so completely dethrones "exterior events" that their only remaining service is "to release and interpret inner events" (1953, *Mimesis*, 537–38).

Emphasis on inner lives is not necessarily incommensurate with innovative depiction of the larger world. Jameson shows how E. M. Forster's *Howards End* (1910) employs synecdoche to situate its renovation of the self in an expansively global setting (1990, "Modernism and Imperialism," in *Nationalism, Colonialism and Literature*). One character's musing about the Great North Road calls up a network of roadways whose links to London and the world of commerce are "suggestive of infinity" (chap. 3). Experiment in synecdochic depiction and narrative focalization enabled such diversely set novels as Forster's *A Passage to India* (1924), Jean Rhys's *Voyage in the Dark* (1934), and Frederick Rolfe's *The Desire and Pursuit of the Whole* (1934) to turn a provincial South Asian city, a transatlantic crossing, and Venice's waterways into milieus equally well-suited for representing consciousness and invoking global connectivity (see NARRATIVE TECHNIQUE).

The diversity of setting that marked early twentieth-century fiction was itself a sign of the times: the British novel was in thrall to the cosmopolitan. Novels documented the amplification of commercial tendencies from the nineteenth century, including a heightened interconnection among various parts of the British Empire and beyond, as well as increased traffic in imported goods and ideas that affected life in even the most rural of regions. Such incursions took many forms, from the importation of American techniques of scientific management in the Midlands industrial town of D. H. Lawrence's *Women in Love* (1920) to the eclecticism of the country estate with its Egyptian obelisk and fountain uprooted from "a piazza of southern Italy" of Evelyn Waugh's *Brideshead Revisited* (1945, chap. 4).

Paradoxical though it may sound, emphasizing the cosmopolitan was British fiction's way of defining locality. When novels attempted, as Jed Esty puts it, to recover "an old insular culture from within the bloated, multicultural empire," they confirmed how significantly that empire was reshaping national, REGIONAL, and local ways of life around the world (9). Nostalgia for the native was but the flip side of affection for the exotic. Early twentieth-century fiction habituated its readers to the discovery of discordant alien stuff in every sort of locale. Fiction was especially invested in revealing the linguistic traces of imperial traffic. *Ulysses* depicts the city of Dublin as defined by commerce with Scotland, England, Europe, and the larger world, which the novel evokes in the disparate languages that compose its "Oxen of the Sun" chapter (chap. 14). This chapter incorporates everything from Anglo-Saxon to what Joyce described as "a frightful jumble of pidgin English," as it leads readers through a polyvocal assemblage of almost, but not quite, English sentences, testimony to lexical

cross-pollination altering English language and literature not only in Ireland but everywhere else in the age of empire (qtd. in D. Gifford and R. J. Seidman, 1988, *Ulysses* Annotated, 441; see LINGUISTICS).

LITERARY NETWORKING

If empire provided raw material for novelistic contemplation of cosmopolitanism, it also engendered new mobility for writers, readers, and their work. This in turn invigorated what Raymond Williams calls “communities of the medium” in universities and cities worldwide (1989, *Politics of Modernism*, 45). The Bloomsbury Group, which spun out of Cambridge but settled in London, epitomized such a collective. The group included both Woolf and Forster and supplemented its Anglo membership with South Asian and West Indian affiliates. Networks also formed in London and Paris around editors and artists such as Wyndham Lewis and Ford Madox Ford. Lewis edited the short-lived but influential magazines *Blast* (1914–15) and *The Enemy* (1927–29), while writing novels that included *Tarr* (1918) and the satire of literary hobnobbing *The Apes of God* (1930). Ford edited the equally influential *English Review* (1908–1909) and *The Transatlantic Review* (1924–25), in which a host of familiar modernists found publication, while his own literary reputation hangs largely on *The Good Soldier* (1915) and *Parade’s End* (1924–28). The map in the preface to Shari Benstock’s *Women of the Left Bank* reveals at a glance how Paris became a hotspot for English-language writers in the interwar period (xii–xiii). As Lawrence Rainey shows, networking among these groups emphasized business as well as art, incorporating “strands of patronage, consumption, collecting, and speculation,” an “intricately interwoven” fabric of literary investment, production, and circulation (65).

The appearance of novels by West Indian migrants, including C. L. R. James’s *Minty Alley* (1936), presaged the wider integration of British literary circles. C. L. Innes observes that the “1930s and 1940s saw an increasing presence in the major British cities, and especially London, of intellectuals from the colonies, and many of them played a key part in British intellectual and cultural life” (179). Association rarely meant assimilation. Susheila Nasta observes that Mulk Raj Anand was enough of an outsider to Bloomsbury that *Untouchable* (1935) was read by some as commentary on the isolation of an Indian intellectual living in London (30). It bears pointing out, however, that an outsider’s stance was precisely what white British modernists themselves aspired to provide. When Forster praised Anand as “an Indian who observed from the outside,” he described a stance that mirrored his own in *A Passage to India* (Preface, *Untouchable*, vi). Moreover, from the perspective of a publisher’s accountant, there might have appeared little difference among the now celebrated modernist classics and such books as the Indian novelist R. K. Narayan’s *Swami and Friends* (1935), which received warm reviews but seemed unlikely to sell better in Britain than the likes of the equally well-regarded Anglo-Irish novelist Elizabeth Bowen’s *The House in Paris*, which appeared the same year. Furthermore, when Anand’s *Two Leaves and a Bud* (1937) was banned for obscenity in its portrayal of a British official who kills a tea-plantation worker and attempts to rape his daughter, it joined a long list of censored modernist tomes that includes *Ulysses* and *Women in Love* (see CENSORSHIP). To make such comparisons is not to argue that the unique potential of South Asian fiction was lost on publishers such as Stanley Unwin and editors like Aubrey Menon, who eyed a bilingual Indian as well as domestic British market. Ruvani Ranasinha recounts Raja Rao’s

debate with his publisher over which preface-writer would better boost Asian sales of his novel *Kanthapura* (1938), E. M. Forster or the Oxford University philosopher Sarvepalli Radhakrishnan (1888–1975; 26).

Developments in the global novel trade depended upon technological advances that were also grist for the mill of fictional representation. Stephen Kern observes that the “telephone, wireless telegraph, X-ray, cinema, bicycle, automobile, and airplane” all came into general use during the early decades of the twentieth century (1). Their appearance facilitated the breaking down of barriers “horizontally across the face of the land and vertically across social strata” (316). Novels presented technological change as altering the lived experience of TIME and SPACE. Although it has been conventional to understand such change as creating a sense of crisis, David Trotter argues that novels by the likes of Joyce, Lawrence, Lewis, Wells, and Woolf actually tended to consider technological innovations like the cinema with curiosity: “apprehensive, perhaps, and often scornful, but also convinced that the camera’s-eye view” might be appropriated as a novelistic device (2007, *Cinema and Modernism*, 10; see PHOTOGRAPHY).

THE NOVEL IN THE “ENGLISH SCHOOL”

The novel’s relationship with the mass media evolved as the novel was elevated into an object of university study. Few figures deserve greater credit for facilitating its rise than F. R. Leavis, whose *The Great Tradition* (1948) established a preliminary canon running from George Eliot to Joseph Conrad. As numerous commentators have observed, Conrad the Polish immigrant is joined in Leavis’s tradition by the American Henry James, a paradoxical formulation that made Leavis’s model of English literature highly

flexible. Leavis treats the novel as a universal medium that could nevertheless become rooted to local particularity. As Francis Mulhern puts it, Leavis treats novelists such as James and Conrad as successful in crafting a recognizably English, i.e., British, idiom and literature because they relieve themselves of “circumstantial [i.e., not British] beginnings” (260). Even as Leavis emphasized imports, Simon Gikandi shows that his model became exportable: “Debates about literature in Africa throughout the 1960s and 1970s were . . . attempts to show that African literature in English could make the same exclusive claims that F. R. Leavis had made for English literature in England” (649).

At Cambridge’s Downing College, Leavis lobbied on behalf of literature among the disciplines. In “A Sketch for an ‘English School’” (1943), he argues that English literature “trains, in a way no other discipline can, intelligence and sensibility together” (34). This argument was symptomatic of a drive to present English as “the humane discipline, the modern substitute for philosophy and theology,” notes the historian Harold Perkin (1989, *Rise of Professional Society*, 395). It is “perhaps the best example,” he continues, of a field that successfully professionalized work on “subject matter [previously] accessible to the laity” (395–96). Although their work was obviously crucial to this process, novelists themselves were unevenly professionalized. They relied on campaigns like Conrad’s extended efforts to persuade editors, agents, and critics to treat his labor as expert in transforming adventure plots into art. Conrad’s attempt may appear less eccentric if we remember that many of the disciplines we now recognize as such were only just beginning to form. Ethnographers like Bronislaw Malinowski (1884–1942), now widely credited as a founder of British ANTHROPOLOGY, needed to do as much persuading as any

novelist to earn recognition for his specialized method of study and writing. Louis Menand argues, further, that radical differences in techniques for securing disciplinary distinction ought not keep us from recognizing a certain commonality among even the most antipathetic of experts: “the manner in which the modern artist tried to keep his ideological distance from the businessman, to guard the autonomy of his work, was also one of the ways in which the artist and the businessman were both, in spite of their self-conceptions, bound together” (1987, *Discovering Modernism*, 100–101).

LITERARY LONDON AFTER WWII

Substantial geopolitical and economic changes in the 1940s and 1950s set the stage for allegiances among new migrants and old modernists in the reconstruction of London’s cosmopolitan literary scene after WWII. Austerity measures were severe. Bread was rationed, though it had not been during the war itself, and paper was rationed through 1948. The governmental bureaucracy was transformed as the welfare state emerged. The 1947 independence of India and Pakistan combined with the Suez Crisis of 1956 to confirm the end of Britain’s status as a singular world power. And the *SS Empire Windrush’s* docking at Tilbury on 22 June 1948 with hundreds of Jamaican immigrants on board signaled a new era in the long history of immigration to Britain. Such was the backdrop for the collaboration described by Peter Kalliney, as “members of London’s interwar modernist scene—including T. S. Eliot, Stephen Spender, Roy Fuller, Louis MacNeice, and John Lehmann—took an active interest in Caribbean literature. Just as important, Caribbean writers reciprocated by accepting this patronage and developing modernist techniques in new directions” (91). At the

same time as newly emigrated novelists from the once and former colonies found the support of modernist patrons, some also found an institutional home at the British Broadcasting Corporation. V. S. Naipaul, whose *A House for Mr. Biswas* appeared in 1961, oversaw the BBC’s literary review *Caribbean Voices*, which brought attention to such works as George Lamming’s *The Emigrants* (1954) and Samuel Selvon’s *The Lonely Londoners* (1956). G. V. Desani, the Indian author of *All About H. Hatterr* (1948), worked for the BBC as well, much to the chagrin of Anthony Burgess, who bemoaned the fact that Desani and Ireland’s Flann O’Brien, author of *At Swim-Two-Birds* (1939), had to subsidize their experimental prose with journalistic labor (see JOURNALISM).

All About H. Hatterr indicated anew the extent to which the British book market was defined by its niches. Desani’s novel sold well in the British Isles, but as a “coterie pleasure,” Burgess noted, “being taken very seriously indeed by the brighter academic critics” (1970, *All About H. Hatterr*, 9–11). Those same critics took seriously a range of now canonical mid-century fictions such as Malcolm Lowry’s love triangle and political allegory *Under the Volcano* (1947), William Golding’s desert-island tale of savage schoolboys *Lord of the Flies* (1954), Samuel Beckett’s rebarbative modernist trilogy *Molloy*, *Malone Dies*, and *The Unnamable* (1951–53), as well as Burgess’s dystopian *A Clockwork Orange* (1962). Anthony Powell’s *A Dance to the Music of Time* (1951–75) takes on the challenge of narrating the history of the generation that came of age in the 1920s by tracing changing associations among a group of friends and relations over the course of twelve volumes.

In the same era, second-wave feminism heralded novels whose visibility rivaled those of the fin-de-siècle New Woman novels (see FEMINIST). These included such

formally and thematically disparate works as Doris Lessing's influential presentation of personal and political collapse, *The Golden Notebook* (1962), Angela Carter's first in a series of wildly experimental novels, *Shadow Dance* (1966), and Jean Rhys's *Wide Sargasso Sea* (1966), with its narration of a colonial back story to Charlotte Brontë's *Jane Eyre* (1847). Kingsley Amis and the writers known as the Angry Young Men carried the flag for an antagonistically muscular English REALISM opposed equally to the formal experimentation of modernism and to an effeminate sensibility they associated with the Leavisite approach to literary study. Detective novels by Agatha Christie and Ngaio Marsh continued to appear steadily into the 1960s, although their most celebrated books may have been behind them. Spy and suspense fiction acquired new life in the Cold War (ca. 1945–91), with the appearance of James Bond in Ian Fleming's *Casino Royale* (1953) and the upmarket fare of Graham Greene's *The Heart of the Matter* (1948) and *The Third Man* (1949). In the realm of fantasy, meanwhile, J. R. R. Tolkien followed up his 1937 *The Hobbit* with *The Lord of the Rings* (1954–55).

THE DECOLONIZATION OF BRITISH FICTION

The centripetal force London exerted on writers, publishers, and critics was balanced and arguably overwhelmed by centrifugal tendencies that exacerbated the novel's generic as well as geographic fragmentation. Paradoxically, by the end of the century this made it increasingly difficult to understand "The British Isles," as naming a unity even as "British fiction" remained a relevant category. The breakup of British fiction was funded in part by the Arts Council of Great Britain, which, true to the precedent of Leavisite education, was committed in its

very "structure . . . to supporting the diversity of regional culture," Morag Shiach points out (2004, "Nation, Region, Place," in *Cambridge History of Twentieth-Century English Literature*, ed. L. Marcus and P. Nicholls, 530). The critical connection between culture and fiction was provided by Ned Thomas's *The Welsh Extremist* (1971), Francis Russell Hart's *The Scottish Novel* (1978), and Robert Crawford's *Devolving English Literature* (1992). Readers were presented with a tradition that, in Scottish fiction, includes Compton Mackenzie's popular tale of a ship full of alcoholic liquor wrecked off the Outer Hebrides, *Whisky Galore* (1947), Muriel Spark's novel of mentoring and betrayal, *The Prime of Miss Jean Brodie* (1961), as well as late century contributions including Alasdair Gray's simultaneously bleak and fantastical *Lanark* (1981); Irvine Welsh's *Trainspotting* (1993), with its jubilantly demotic rendering of the junkie lifestyle; and James Kelman's Booker Prize winner *How Late it Was, How Late* (1994), a story of state administration, bureaucratic complexity, and police brutality in the highly stylized vernacular of its newly blind protagonist Sammy. Welsh novels in the second half of the century include Raymond Williams's HISTORICAL NOVEL *Border Country* (1960); Alun Richards's *Home to an Empty House* (1973), the story of a troubled marriage; and Stevie Davis's World War II drama *The Element of Water* (2001). Among these *Trainspotting* and *How Late* stand out not only for thematizing the London/region dynamic but also for marginalizing "standard" English in their language (see DIALECT).

The elaboration of parallel traditions of English-language fiction within Britain complemented the codification of regional and NATIONAL novelistic traditions in the former empire. Although English study in the colonies was intended as a tool for disciplining elites, as Salman Rushdie

observes, “those peoples who were . . . colonized by the language [were also] rapidly remaking it, domesticating it” (1990, *Imaginary Homelands*, 64). English language, literature, and culture were effectively Indianized and Africanized, in a process that simultaneously granted new specificity to what Rushdie calls the “English-language . . . of England” (64–65). London publishers facilitated postcolonial canonization: Heinemann launched its African Writers Series in 1958 with Achebe’s *Things Fall Apart*. Although West Indian, South Asian, and Irish writers had long been active in British literary circles, the consolidation of parallel traditions fundamentally altered how the British novel was thought of and how it was taught. Postcolonial fiction’s rise made it difficult for even the most recalcitrant critics to ignore imperialism when teaching literary history and encouraged others to question the canon’s putative status as a record of Matthew Arnold’s “best that is known and thought in the world” (1864, “Function of Criticism at the Present Time”) or as the necessary foundation for a humane professional discipline à la Leavis. Instead, postcolonial criticism and fiction prodded educators and their students to reexamine the interaction between the novel and history as well as to redefine the meaning of cultural literacy and literary culture.

Within Britain, that reexamination and redefinition was part and parcel of domestic unrest. The 1958 Notting Hill and Nottingham attacks on West Indian immigrants found their legislative ally in the Commonwealth Immigrants Act of 1962 and their rhetorical call to arms in Enoch Powell’s infamous 1968 “Rivers of Blood” speech. The 1970s and 1980s saw riot and legislation contribute in equal measure to the everpressing debate about what it meant to be British. The Race Relations Act of 1976 ensured that curricular reform would be a major venue for that debate. As Hazel Carby

observes, position papers and education policy statements circulating in the act’s wake treated fiction as a device for teaching students to acknowledge and appreciate British multiculturalism. The Brixton riots of 1981 confirmed that multicultural Britain remained a work in progress. In a style that reminds some readers of MAGICAL REALISM and others of British modernism, Rushdie’s *The Satanic Verses* (1989) provides a provocative account of ongoing tension by staging a riot in its pages, “rejoic[ing] in mongrelisation,” as the author puts it, while making the case against “the absolutism of the Pure” (394). Among the most evocative vehicles of impurity in the novel is the character Gibreel Farishta, who transforms into the Archangel and declares to the city spread out before him, “I am going to tropicalize you” (chap. 5).

Returning the ambivalent tropics of *Lord Jim* to the metropolis, *The Satanic Verses* became a comparable force in British letters. Subsequent fictions including Hanif Kureishi’s *The Black Album* (1995) and Zadie Smith’s *White Teeth* (2000) restage the burning of Rushdie’s novel in Bolton and Bradford, taking Rushdie’s tome as an occasion to incorporate arguments about the politics of representation into their narrative histories of British social life. These works assume that novels explain contemporary Britain to itself, just as the Arts Council said they should. A slew of late-century historical novels had much the same goal, although they often explain Britain differently. J. G. Farrell’s *Troubles* (1970), *The Siege of Krishnapur* (1973), and *The Singapore Grip* (1978) presaged a 1980s burst of renewed interest in the Raj and British imperial history, which more often took after the idealized portraits of Merchant—Ivory film productions than Farrell’s satire. The domestic heritage industry rejuvenated cultural investment in the English country house, a predilection

captured by Prince Charles's 1988 lament that "we allowed a terrible damage to be inflicted on parts of this country's unique landscape and townscape" (1989, *A Vision of Britain*, 21). Naipaul's *The Enigma of Arrival* (1987) provides a counterpoint while contemplating empire's traces on England's picturesque countryside. Alan Hollinghurst's *The Swimming-Pool Library* (1988) complicates the notion of heritage further as its characters speculate about "how sexy the past must have been," and its "queer peer" Lord Nantwich provides through his memoirs a highly personal colonial history of homoerotic desire (chap. 11).

Paul Gilroy lays out two competing problems that might be said to unite an otherwise diverse lot of British fictions at century's end. "First is the idea of 'conviviality,'" he submits, "the processes of cohabitation and interaction that have made multiculturalism an ordinary feature of social life in Britain's urban areas and in postcolonial cities elsewhere" (2005, *Postcolonial Melancholia*, xv). The second is "postimperial melancholia," an ailment whose symptoms include selective memory about British Empire and its lingering effects (90). The cause of this ailment, Gilroy argues, is the same as that of conviviality: both originated "as soon as the natives and savages began to appear and make demands for recognition in the empire's metropolitan core" (91). Accordingly, Andrea Levy's novel *Small Island* (2004) finds as much evidence of conviviality as British racism in London during the Blitz (1940-41); Kazuo Ishiguro's *When We Were Orphans* (2000) forges imaginative links between the imperial cities of Shanghai and London; and James Kelman's *Translated Accounts* (2001) simultaneously solicits and evades questions about the status of English in the contemporary global order by rendering events in an unnamed "occupied territory or land" in the form of fifty-four narrative fragments

"translated" for an English-reading audience (ix). If these novels offer compatible takes on matters historical and geopolitical, they also indicate the stylistic diversity of contemporary British fiction, from the realism of Levy to the formal abstraction of Kelman.

THE GLOBALIZATION OF BRITISH FICTION

These novels circulated in a book market that changed every bit as substantially at the end of the twentieth century as at the beginning. Even before the online juggernaut Amazon entered the fray, chain bookstores Waterstone's and Dillon's were tilting the market's balance of power away from publishers, agents, and authors, toward ever-larger retailers. In 1995, the repeal of the Net Book Agreement, which guaranteed set retail prices, ensured that steep discounting of novels would become the norm (see COPYRIGHT). Richard Todd's *Consuming Fictions* describes these changes, which appeared amid a general climate of trade deregulation beginning in the 1970s, and benefited substantially from contemporaneous upgrades in communication technology. The internet has had contradictory effects: it is as conventional to note the book trade's online successes as it is to claim that new media are driving the novel out of business.

A host of vehicles for promoting novels appeared in this same era. Among them the most significant is the well-funded and expertly advertised Booker Prize, first awarded in 1968. The early Booker pushed aside intriguingly morbid expressions of 1970s malaise such as *The Infernal Desire Machines of Doctor Hoffman* (1972) by Angela Carter, *Birchwood* (1973) by John Banville, and *Crash* (1973) by J. G. Ballard, in favor of a measured diversity: V. S. Naipaul won for

In a Free State (1971), J. G. Farrell for *The Siege of Krishnapur* (1973), and Iris Murdoch for *The Sea, The Sea* (1978). By the 1980s, the announcement of the Booker had become a mass media spectacle that guaranteed sales for shortlisted books by writers from diverse nations of origin, from South Africa's J. M. Coetzee to Sri Lanka's Michael Ondaatje, and India's Arundhati Roy to Ireland's Anne Enright. Other vehicles of novelistic excitement joined the Booker including the quarterly *Granta*, which promised "the end of the English novel" in 1980, the year after its inaugural issue, and the "Best of Young British Novelists" in a 1983 collaboration with the Book Marketing Council. In addition to Rushdie and Ishiguro, *Granta's* list included Martin Amis, Pat Barker, Julian Barnes, Buchi Emecheta, and Ian McEwan. The *Richard and Judy Book Club* gave book promotion the polish of daytime TV: Monica Ali's *Brick Lane* (2004) was its first selection, while Alice Sebold's *The Lovely Bones* (2002) won the "Richard and Judy Best Read of the Year" at the 2004 British Book Awards.

There has been a lively debate among journalists, reviewers, and scholars about the impact of such promotions on contemporary British fiction. The new visibility they bring to the processes whereby cultural value gets converted into economic worth leads Graham Huggan to consider the "global commodification" of novels like Smith's *White Teeth*, and to investigate how publishers managed to "turn marginality . . . into a valuable cultural commodity" (vii–viii). Sarah Brouillette describes a new publishing imperialism in which "global market expansion" remains organized "in a few key cities" such as London (56). For James F. English, the current reign of prize culture means the era of ascribing an oppositional stance to the most elevated, perhaps difficult or experimental forms of fiction is over. "One can still refuse a prize," he writes,

"but the refusal can no longer be counted upon to reinforce one's artistic legitimacy. . . . On the contrary . . . the scandal of refusal has become a recognized device for raising visibility and leveraging success" (221–22). "Commercial literature has not just come into existence recently," Pierre Bourdieu observes, but the "boundary has never been as blurred between the experimental work and the bestseller" (1996, *The Rules of Art*, trans. S. Emanuel, 347). The example of Iain M. Banks, author of both bestselling "quality fiction" and SCIENCE FICTION, suggests that the opposition between high and low styles persists, even as particular authors and genres cross over that great divide. Banks's *The Wasp Factory* (1984) is one of the *Independent's* top 100 books of the twentieth century, while his science fiction series "the Culture" began with *Consider Phlebas* (1987).

By way of conclusion, it is worth remembering that modernist fiction and its boosters also stoked fear of a homogenizing market even as they labored to demarcate a niche within it. As Nicholas Daly pithily observes, we have become rightly skeptical of modernist fiction's reputation as "poor but honest," triumphing over "the shoddy cultural goods" that surrounded it: "modernism ambivalently courted the market; if it appeared bashful about commercial success, this sometimes worked all the better to attract it" (2007, "Colonialism and Popular Literature at the Fin de Siècle," in *Modernism and Colonialism*, ed. R. Begam and M. V. Moses, 19). As the range of styles, genres, themes, and countries of origin comprising "the British novel" ramified exponentially over the course of the twentieth century, the necessity of carving out a distinctive niche in an increasingly crowded market has remained as constant as the claim that any really important novel, whether widely read or not, will explain society to itself.

BIBLIOGRAPHY

- Ardis, A. (1990), *New Women, New Novels*.
- Benstock, S. (1986), *Women of the Left Bank*.
- Brouillette, S. (2007), *Postcolonial Writers in the Global Literary Marketplace*.
- Carby, H. (1979), "Multicultural Fictions," *Stencilled Occasional Papers* 58.
- Crawford, R. (1992), *Devolving English Literature*.
- English, J.F. (2005), *Economy of Prestige*.
- Esty, J. (2004), *Shrinking Island*.
- Gikandi, S. (2001), "Globalization and the Claims of Postcoloniality," *South Atlantic Quarterly* 100: 627–58.
- Huggan, G. (2001), *Postcolonial Exotic*.
- Innes, C.L. (2002), *History of Black and Asian Writing in Britain*.
- Kalliney, P. (2007), "Metropolitan Modernism and its West Indian Interlocutors," *PMLA* 122: 89–104.
- Keating, P. (1989), *Haunted Study*.
- Kern, S. (1983), *Culture of Time and Space*.
- Mulhern, F. (1990), "English Reading," in *Nation and Narration*, ed. H. K. Bhabha.
- Nasta, S. (2002), *Home Truths*.
- Rainey, L. (1998), *Institutions of Modernism*.
- Ranasinha, R. (2007), *South Asian Writers in Twentieth-Century Britain*.
- Todd, R. (1996), *Consuming Fictions*.
- Wicke, J. (1994), "Mrs. Dalloway Goes to Market," *Novel* 28:5–24.

C

Canada

ANDREA CABAJSKY

The novel in Canada has developed formally and thematically in relation to changing conceptions of the Canadian identity. From popular romances written in English and French, which dominated literary production in the mid-eighteenth and nineteenth centuries, to subgenres of literary ROMANCE and REALISM that proliferated in the late nineteenth and twentieth centuries, the novel's changing structures and themes reflect the variously imperial, bicultural, regionalist, and pluralist conceptions of Canada that have comprised the nation's complex cultural and political life since the publication of the first Canadian novel, Frances Brooke's *The History of Emily Montague* (1769). Renowned Canadian novelists today include Margaret Atwood, Michael Ondaatje, Antonine Maillet, and Anne Hébert. Their popularity in Canada and abroad has reflected widespread readerly interest in Canada's cultural, regional, and linguistic heterogeneity. Earlier novelists, such as John Richardson, Philippe Aubert de Gaspé, Susanna Moodie, Hugh MacLennan, and Gabrielle Roy, among others, garnered popular and critical attention for their works which variously negotiate the formative relationship between individuals and societies at key moments in Canada's socio-political development.

This entry begins by examining the Romantic origins of Canadian novels written in Canada's two official languages, English and French, in the late eighteenth and early nineteenth centuries. It then broadens its focus to include subgenres of romance and realism (namely HISTORICAL romance, PSYCHOLOGICAL realism, and literary REGIONALISM) whose themes and forms from the late nineteenth to the early twenty-first centuries have changed in conjunction with Canadians' evolving sense of themselves. This entry emphasizes meaningful connections between novelistic development and sociopolitical transformation at such key historical moments as the Union of Upper and Lower Canada (1841), Confederation (1867), the two world wars, Quebec's Quiet Revolution (1960–70), and the introduction of the Canadian Multiculturalism Act (1988).

The Canadian novel's roots lie with popular and GOTHIC romances, such as Brooke's *Emily Montague*, Julia Beckwith Hart's *St. Ursula's Convent* (1824), and Philippe Aubert de Gaspé, Jr.'s *L'influence d'un livre* (1837, *The Influence of a Book*). Its development in the early nineteenth century hinges on the influence of the Romantic-period Scottish and American historical novelists Walter Scott and James Fenimore Cooper. The first novels to adapt Scott and Cooper to the Canadian context include Richardson's *Wacousta; Or, the Prophecy: A Tale of the*

Canadas (1832) and Aubert de Gaspé, Sr.'s *Les Anciens Canadiens* (1863, *Canadians of Old*), both of which deal with the psychological and cultural effects of the consolidation of the British Empire on Canada's foundational constituents: Anglo-colonials, French Canadians, and aboriginals. The historical novel remained popular in the nineteenth and early twentieth centuries, becoming what Maurice Lemire has described as the most important GENRE through which to study the emergence of literary nationalism (x; see NATIONAL). Historical novelists have revitalized the genre in the late twentieth and early twenty-first centuries by incorporating features from other forms, such as the GRAPHIC novel. Changes to the historical novel's themes and forms are emblematic of Canadians' ongoing desire to understand their complicated historical development from new perspectives.

The roots of literary realism in Canada lie with the psychological, proto-feminist novel *Angéline de Montbrun* (1884) by the French Canadian Laure Conan (pseud. of Félicité Angers), as well as with the pioneer novel *Settlers of the Marsh* (1925) by the German immigrant Frederick Philip Grove (pseud. of Félix Paul Greve). In the mid- to late twentieth century, a resurgence of cultural nationalism stemming from Canada's centenary (1967) and Quebec's "Quiet Revolution" rendered the realist novel an important vehicle for negotiating contemporary anxieties about urbanization, American cultural influence, GENDER relations, and legacies of empire. Atwood's *Surfacing* (1972), for example, represents a powerful rejection of American cultural influence (portrayed allegorically as aggressive and male) on Canadian national character (portrayed as introspective and female). Roch Carrier's *La Guerre, Yes Sir!* (1968) and Hubert Aquin's *Prochain épisode* (1965, *Next Episode*) bear witness to the divided attitudes

of Quebecers toward their English Canadian neighbors. The advent of literary post-modernism in Canada saw novelists employ methods of linguistic and narrative innovation to investigate connections among cultures, genders, and geographical regions from new angles. Such linguistic and narrative innovation is exhibited in landmark works including Robert Kroetsch's *The Studhorse Man* (1969) and *Badlands* (1975), Rudy Wiebe's *The Temptations of Big Bear* (1973), Ondaatje's *In the Skin of a Lion* (1983), Régine Robin's *La Québécoise* (1983, *The Wanderer*), and Madeleine-Ouellette Michalska's *La Maison Trestler* (1984, *The Trestler House*), among others.

Sherry Simon has observed that, in Quebec as elsewhere in Canada, generic change has intersected with sociodemographic changes, namely with the heterogenization of the national culture in the late twentieth century (9). As the latter part of this entry will demonstrate, the recent proliferation of such hybrid forms as the graphic historical novel and the "poet's novel" (which combines features from the lyrical long poem with those of the realist novel) points to important new directions for the Canadian novel at the turn of the twenty-first century. The hybrid structures of Chester Brown's graphic historical novel *Louis Riel: A Comic Strip Biography* (2003) and the "poem-novels" of Montrealer Anne Carson suggest that Canada's complex history, cultural plurality, and distinct regional identities continue to challenge writers to refresh the novel's forms and themes for new audiences.

THE EMERGENCE OF THE NOVEL IN ENGLISH AND FRENCH CANADA: 1769–1860

The previous section provided an overview of the development of the Canadian novel.

The remainder focuses on key periods in English Canada's and Quebec's respective literary histories in order to illuminate the indispensable role the novel has played in shaping and reflecting Canada's cultural identity, beginning with the fall of New France and its repercussions in the mid-eighteenth and nineteenth centuries.

In the eighteenth and nineteenth centuries, the Canadian novel developed through a combination of imitation and innovation: inspired by novelistic conventions that had been standardized by European authors, colonial novelists pieced together generic features to suit their needs (see INTERTEXTUALITY). Brooke's *Emily Montague*, written by a respected English novelist and poet who had visited Quebec shortly following the fall of New France, transformed the unfamiliar territory of Quebec into a social landscape familiar to eighteenth-century English readers. It did so by combining a familiar form (the EPISTOLARY novel) and a familiar narrative style (the Richardsonian sentimental style) with what were then exotic features from the Quebec landscape in order to achieve two goals: to promote Canada as a model British colony and to intervene in contemporary debates about subjects such as colonial government and gender relations. By the early to mid-nineteenth century, the influence of Scott's and Cooper's Romantic historical novels could be felt in such proto-nationalistic works as *Wacousta* and *Anciens Canadiens*, both of which portray intercultural relations among Anglo-colonials, aboriginals, and French Canadians as allegories of Canada's exemplary status as a model British colony capable of resolving longstanding cultural antagonisms.

Throughout the nineteenth century, the themes of Canadian novels written in English reflect two predominant attitudes: English Canadians' affective attachment to Britain and their anxieties about America's

growing cultural and economic influence. Novels that belong to the former category include the first two published in the Canadian colonies, *St. Ursula's Convent* and James Russell's *Matilda; or, The Indian's Captive* (1833), whose plots close when their main characters move to England and leave Canada behind with little regret. *The Clockmaker; or The Sayings and Doings of Samuel Slick, of Slickville* (1836) by Thomas Chandler Haliburton, an influential figure in the development of social satire, introduces the anti-American theme to Canadian fiction. *Clockmaker* simultaneously satirizes and critiques the increasing coarseness of American materialism. Still other novels, such as Susanna Moodie's *Roughing It in the Bush* (1852), document colonial life in Canada while functioning as "emigrant guides" for potential British settlers. Unlike *The Backwoods of Canada* (1836) by Moodie's sister Catherine Parr Traill, which provides a factual, though generally favorable, account of settler life, *Roughing It in the Bush* focuses on the trying, even tragic, sets of experiences that befell the author after she moved from England to what is now eastern Ontario.

In the early decades of the nineteenth century, the novel in French developed largely in response to French Canadian anxieties about English Canadian cultural and political domination. A catalyst in the development of Romantic cultural nationalism in the French Canadian novel was a political document, Lord Durham's *Report on the Affairs of British North America* (1839), which advocated French Canada's assimilation to English Canada. As E. D. Blodgett observes, the Durham Report had an irrevocable impact on French Canada: "[w]hat had been a settler colony became an occupied colony, and the long process of self-definition that constitutes francophone writing began" (50). French Canadian novels published prior to the Durham Report, such as *L'influence d'un livre* and

François-Réal Angers's *Les Révélations du crime* (1837, *The Canadian Brigand*), contain expressions of cultural self-consciousness but are not openly nationalistic. After the publication of the Durham Report, French Canadian novels became more recognizably nationalistic in theme and tone. Historical novels explicitly evoked local folklore, history, and topography to effectively portray French Canadians as "native" to the land. Rustic novels, which celebrate the virtue of settler or habitant life, such as Patrice Lacombe's *La terre paternelle* (1846, *The Outlander*), Pierre-Joseph-Olivier Chauveau's *Charles Guérin* (1853), and Antoine Gérin-Lajoie's *Jean Rivard, le défricheur* (1862, *Jean Rivard*), stand out from their English Canadian contemporaries in their refusal to import characters, settings, and resolutions from Europe. *La terre paternelle* is historically significant for inaugurating what would become a common scene in subsequent French Canadian novels: that of an exiled patriarch who, upon his return, finds his home occupied by an English stranger.

THE CANADIAN NOVEL AT CONFEDERATION AND THE TURN OF THE TWENTIETH CENTURY: 1860–1914

This section examines changes to novelistic themes and forms that took place in the years bracketing Canadian Confederation (1867) and the turn of the twentieth century. Although the historical novel continued to be popular in the late nineteenth century, the turn of the twentieth witnessed the proliferation of fantasy (see SCIENCE FICTION), psychological realism, and social satire (see PARODY).

In the years leading up to and immediately following Confederation, overtly nationalistic novels gained increasing

acceptance by literary nation-builders keen to create for Canada an identity distinguishable from that of the U.S. and Britain. For a time, the historical novel remained the preferred genre for expressing such nationalism. Many Confederation-era English Canadian novels featured the French-English theme, although different novelists employed it to different ends. Novelists interested in promoting a bicultural vision of Canada, including Rosanna Leprohon (1864, *Antoinette de Mirecourt*), William Kirby (1877, *The Golden Dog*), and the American-born John Talon Lesperance (1877, *The Bastonnais*), portrayed French Canada sympathetically to English Canadian readers who were still, by and large, unfamiliar with their Francophone neighbors. Other English Canadian novelists, namely those who published later in the century such as Gilbert Parker (1896, *The Seats of the Mighty*), employed the French-English theme to promote a Canadian version of Anglo-Saxon triumphalism. As John Robert Sorfleet observes, this triumphalist form of English Canadian nationalism preoccupied many novelists writing at the turn of the twentieth century, providing them with a "testing ground for certain . . . attitudes about Quebec in relation to the rest of Canada" (244).

Many French Canadian novels written in the Confederation period, such as *Anciens Canadiens*, Napoléon Bourassa's *Jacques et Marie* (1865), and Joseph Marmette's *L'Intendant Bigot* (1872, *Intendant Bigot*), focus on the French-English theme, although they do so differently from their English Canadian counterparts. This is so largely for two reasons: first, because French Canadians saw themselves as a "conquered" people, and so their representations of intercultural relations in fiction were often motivated ideologically by the need to rehabilitate the vanquished culture. And second, because the advent of a form

of nationalism known as “messianic nationalism” had fundamentally influenced the themes and plots of French Canadian novels, which had come to advocate a proprietary relationship to the land and often rigid definitions of French Canadian nationality based on language and RELIGION. As Yves Dostaler argues, “messianic nationalism” nourished itself with the idea that French Canadians had a “special vocation” in the development of North American civilization (47). In response to this form of nationalism, which dominated cultural expression in the late nineteenth and early twentieth century, the French Canadian clergy declared itself the safeguard of the people. It sought to tighten its hold over systems of education, publication, and the press in order to protect the integrity of the French Canadian culture (see PUBLISHING). Novels that the clergy deemed acceptable were those which, like *Anciens Canadiens, Jacques et Marie, Intendant Bigot, Terre paternelle*, Edmond Rousseau’s *Les Exploits d’Iberville* (1888, Iberville’s Achievements), and Conan’s *À l’oeuvre et à l’épreuve* (1891, *The Master Motive*), compensated for French Canada’s historical loss to the British by defending the merits of its traditionally patrilineal society, agrarian customs, and Catholic religion.

The quarter-century between 1890 and the beginning of WWI witnessed a shift in writers’ perceptions of their societies and their perceptions of the social role of the novel. In the 1890s, English Canadian novels by Charles G. D. Roberts and Ralph Connor promoted a version of Canadian identity that championed a link between Anglo-Saxon imperialism and Christianity. Connor became a pivotal figure in the novelistic development of “muscular Christianity,” which celebrates the virility of Christian belief and resonated positively with many contemporary readers. Connor’s first three novels published in book form—*Black Rock*

(1898), *The Sky Pilot: A Tale of the Foothills* (1899), and *The Man from Glengarry* (1901)—were international bestsellers, with *Man from Glengarry* selling a quarter-million copies in its first edition alone. Not all novels published at this time, however, concerned themselves explicitly with empire. Others produced in the post-Confederation period reflected an increasing interest in representing the regions of Canada. Notable examples of literary regionalism include the phenomenal bestseller *Anne of Green Gables* (1908) by L. M. Montgomery, set in Prince Edward Island; *Duncan Polite* (1905) by Marian Keith, set in southern Ontario; and *The Red Feathers* (1907) and *The Harbour Master* (1913) by Theodore Goodridge Roberts, brother of Charles G. D. Roberts, set in Newfoundland and Labrador. Also noteworthy in this context is Margaret Marshall Saunders’s *Beautiful Joe* (1894), a novel about an abused dog written for an American Humane Society competition and one of the first international bestsellers written by a Canadian.

In French Canada around the turn of the twentieth century, novel-writing continued to be influenced by the strictures of the clerical elite. Novelistic subgenres, such as fantasy and psychological realism, reproduced the conservative IDEOLOGY of Catholic ultramontanist that continued to dominate cultural production. Separatist novels, which rose to prominence in the early twentieth century in such works as Lionel Groulx’s *L’Appel de la race* (1922, *Iron Wedge*) and Félix-Antoine Savard’s *Menaud Maître-Draveur* (1937, *Master of the River*), have their origins in the 1890s, in the futuristic fantasy *Pour la patrie* (1895, *For My Country*) by Jules-Paul Tardivel, which imagines the founding of a French Canadian religious state in 1945–46. The roots of women’s psychological realism, which rose to prominence in the mid- to late twentieth century in such works as Marie-Claire

Blais's *Une saison dans la vie d'Emmanuel* (1965, *A Season in the Life of Emmanuel*) and Anne Hébert's *Kamouraska* (1970), lie with the novels of Conan. Largely a writer of historical fiction, Conan is best known for *Angéline de Montbrun* (1884), an unprecedented achievement in psychological realism privileging the underexplored perspectives of daughters (as opposed to their fathers) and young women.

In the years leading up to WWI, two novelists, Stephen Leacock and Sara Jeannette Duncan, published some of their best-known works. Both Leacock and Duncan are considered two of the best early realists. An advocate of the virtues of Anglo-Protestant civilization, Leacock was a spokesman for the Imperial Federation movement, a political scientist, and a satirist. His most popular novels remain *Sunshine Sketches of a Little Town* (1912) and *Arcadian Adventures with the Idle Rich* (1914), which celebrate Canada as part of the British Empire while ridiculing Canadian provincialism. Duncan's novels address issues of female independence and British social hierarchy. Like Leacock's satires, Duncan's ironies represent, as W. H. New observes, "ironies of protest, but not acts of rebellion" against the reproduction of British values in the colonies (105).

THE TWO WORLD WARS AND THE GREAT DEPRESSION: THE CANADIAN NOVEL, 1914–60

This section examines the proliferation of psychological realism, literary regionalism, and the resurgence of literary romance during a period of unprecedented social upheaval surrounding the two world wars and the Great Depression (1929–39). It pays particular attention to industrialization, urbanization, and the emergence of

postwar nationalisms as formative forces behind the modernization of the Canadian novel.

The Canadian novel changed dramatically in the years following WWI (1914–18). Driven by an overarching desire to represent the effects of rapid social change on individual identities, novelists largely crafted their novels in one of two ways: either they revived the Romantic mode in order to defend the validity of traditional values in times of turbulence, or they rejected romance for realism in order to explore unprecedented concerns about the socio-economic forces that had alienated individuals from their families, their communities, and the land. A prominent example of the revival of romance includes Mazo de la Roche's popular *Jalna* series, begun in 1927. The series comprises 16 bestselling novels that champion loyalist-imperialist sentiment. The phenomenal popularity of novels written during the Depression era by mock Indian writer and conservationist "Grey Owl" (pseudo. of Archibald Stansfield Belaney), such as *Pilgrims of the Wild* (1934) and *The Adventures of Sajo and Her Beaver People* (1935), demonstrate the lasting resonance of picturesque versions of wilderness life and aboriginality with a reading public keen to distract itself from the harsh realities of everyday life.

Literary realism developed in conjunction with the founding of two important literary magazines: the *Canadian Bookman* (1919) and *The Canadian Forum* (1920). Both magazines demanded a new realism capable of representing the modern and independent Canada that had emerged from WWI. As a result of these demands realist subgenres proliferated, such as prairie realism and urban realism, which recorded the psychological effects of societal change with documentary-like precision. Within a decade, such memorable realist works had appeared as Douglas Durkin's *The Magpie*

(1923), Grove's *Settlers of the Marsh*, Martha Ostenso's *Wild Geese* (1925), Morley Callaghan's *Strange Fugitive* (1928), and Raymond Knister's *White Narcissus* (1929). These novels represent important precursors to noteworthy works published later in the period, such as Ernest Buckler's regional novel *The Mountain and the Valley* (1952), which portrays the stifling aspects of life in Nova Scotia's Annapolis Valley with a delicate lyricism. Sheila Watson's *The Double Hook* (1959), a landmark work of psychological realism, combines features from Christian MYTHOLOGY with aboriginal legend to tell the story of James Potter. Potter's murder of his mother in the opening scene permits the narrative to consider larger themes of alienation, community, and redemption.

By the end of WWI, French Canadian society had changed, and so had the themes of French Canadian novels. Traditionally rural and patriarchal, society had become more urban and industrial. Unemployment had become a problem and French Canadians had grown to resent the fact that they had been conscripted in WWI, forced to fight in an "English" war. Contemporary novelists reworked traditional motifs (the habitant, the land) in ways that registered French Canadians' growing sense of alienation. Louis Hémon's classic *Maria Chapdelaine* (1913) adapts the motif of habitant pastoralism to intervene in contemporary debates about mass migration to the U.S. and to reaffirm traditional values as effective means of ensuring familial and communal survival. *Trente arpentes* (1938, *Thirty Acres*) by Ringuet (pseud. of Philippe Panneton) powerfully records the impact of industrialization on French Canadian society. It breaks from traditional rustic novels by remodeling the French Canadian habitant into a tragic figure who lives in a world in which both society and nature are indifferent to his suffering.

Owing to the upheaval caused by the Second World War (1939–45), the themes of Canadian novels published from 1940 to 1960 were increasingly introspective. At the same time, the plots of novels by postwar immigrants reflected wider ranges of life experience. The failures and modest successes of immigrants to Canada preoccupied such novelists as the Jewish Austrian-born Henry Kreisel (1948, *The Rich Man*), the Irish-born Brian Moore (1960, *The Luck of Ginger Coffey*), and the Jewish Canadians Mordecai Richler (1955, *Son of a Smaller Hero*; 1959, *The Apprenticeship of Duddy Kravitz*), Adele Wiseman (1959, *The Sacrifice*) and A. M. Klein (1951, *The Second Scroll*). The theme of psychological alienation which characterizes the shift from an agrarian prewar society to an urban postwar one was also addressed in works by French Canadian novelists, such as Gabrielle Roy's *Bonheur d'occasion* (1945, *The Tin Flute*), Robert Charbonneau's *Ils posséderont la terre* (1941, *They Shall Possess the Earth*), André Giroux's *Au-delà des visages* (1948, *Beyond the Faces*), and André Langevin's *Poussière sur la ville* (1953, *Dust Over the City*).

The years leading up to Canada's centenary saw the Canadian novel enter the world stage. Bestselling novelists whose careers began in the 1940s and 1950s include Hugh MacLennan (1941, *Barometer Rising*; 1945, *Two Solitudes*), Robertson Davies (the novels comprising the Salterton trilogy: 1951, *Tempest-Tost*; 1954, *Leaven of Malice*; 1958, *A Mixture of Frailties*), Anne Hébert (1958, *Les Chambres du bois*; *The Silent Rooms*), and Marie-Claire Blais (1959, *La Belle Bête*; *Mad Shadows*). In 1948, a group of artists and activists known as the *Automatistes* published their political manifesto *Le refus global* (1986, *Total Refusal*), which challenges the authority of the Catholic Church and advocates the modernization and secularization of Quebec society. This manifesto not only reflects

the spirit of these decades that witnessed unprecedented social and aesthetic transformation but also anticipates (and even helps to bring about) seismic cultural and ideological changes that culminated in Quebec's nationalist "Quiet Revolution" of 1960.

POSTMODERNISM, PLURALISM, AND THE CANADIAN NOVEL: 1960 TO THE PRESENT

The popularity of postmodern techniques, together with the proliferation of novels by immigrants and ethnic minorities, transformed writers' and readers' perceptions of what constitute authentically "Canadian" novelistic forms, settings, and themes.

In response to the wave of cultural nationalism that accompanied Canada's centenary (1967), together with the burgeoning influence of literary postmodernism, which defined literary texts by their ability to construct—rather than to reflect—the world around them, many English Canadian novelists from 1960 onward embraced formal and linguistic experimentation (see *FORMALISM*). They did so in their efforts to challenge traditional definitions of Canadian identity while breaking free from the confines of conventional realism. The introduction of official bilingualism (1969) and multiculturalism (1988) by the federal government confirmed Canada's position as both a bilingual and a multicultural state. At the same time, other aspects of Canada's unique cultural and regional makeup were emphasized by such novelists as Kroetsch, Wiebe, Timothy Findley (1977, *The Wars*), Daphne Marlatt (1977, *Ana Historic*), and George Bowering (1980, *Burning Water*). These novelists and their contemporaries variously adapted elements from aboriginal oral culture, regional history, *JOURNALISM*, *PHOTOGRAPHY*, collage, and other media, to

champion underrepresented cultural, regional, and gendered perspectives while defending the epistemological integrity of their fiction. Antonine Maillet's *Pélagie-la-Charrette* (1970, *Pelagie*), for example, combines Rabelaisian carnivalesque with Acadian folklore to transform the tragic story of the Expulsion of the French Acadians in the eighteenth century into a celebration of orality, the imagination, and Acadian resilience. In response to the proliferation of these innovative works, many of which are historical novels, the Canadian literary critic Linda Hutcheon coined the term "historiographic metafiction" (61) to describe the unprecedented attention they paid to processes of novel-writing and the development of historical identities (see *METAFICTION*).

In Quebec, the 1960s saw the rise of the "Quiet Revolution," a period of intense cultural transformation influenced by *MARXIST-Leninism*, Sartrean existentialism, and Third-World decolonization movements. This period witnessed the rise of the *Parti pris* movement whose foundational members, including novelists André Major and André Brochu, were committed to the idea that Quebec become an independent, socialist, and secular state. This period also witnessed the birth of the neologism "Québécois," which imparts ethnic designation to French Canadians living in the province of Quebec. The 1970s saw the Government of Quebec commission a report by the French philosopher Jean-François Lyotard (1924–98) on the influence of technology on definitions of knowledge. This resulted in the publication of Lyotard's phenomenally influential *The Postmodern Condition* (1979). In the spirit of the emergent nationalism, and under the influence of a burgeoning postmodernism, novelists published linguistically innovative works that promoted the use of *joual*, a popular, working-CLASS

DIALECT. These include Jacques Godbout's *Salut Galarneau!* (1967, *Hail Galarneau!*) and *La Nuit de Malcomm Hudd* (1969, The night of Malcolm Hudd). Narratologically innovative works, such as Réjean Ducharme's *L'Avalée des avalés* (1966, *The Swallow Swallowed*) and Aquin's *Prochain Épisode* (1965, *Next Episode*) and *Trou de mémoire* (1968, *Blackout*), captured the contemporary attitudes of a subculture seduced by nihilism and terrorism. Carrier's *La Guerre, Yes Sir!* and Jacques Ferron's *Le Ciel de Québec* (1969, *The Penniless Redeemer*) parodied obsolete, traditional values, while Godbout's *D'Amour P.Q.* (1972) rejected themes of existential impotence that had governed such predecessors as Ringuelet's *Thirty Acres* and Roy's *Tin Flute*. Landmark FEMINIST novels were also published, including Nicole Brossard's *Le désert mauve* (1980, *The Mauve Desert*), Madeleine Ouellette-Michalska's *Maison Trestler*, and Jovette Marchessault's trilogy *Le crachat solaire* (1975, *Like a Child of the Earth*), *La Mère des herbes* (1980, *Mother of the Grass*), and *Des cailloux blancs pour les forêts obscures* (1987, *White Pebbles for the Dark Forests*).

Since the development of Canada's multicultural policy (1971) by former Prime Minister Pierre Elliott Trudeau (1919–2000), as well as the introduction of the Canadian Multiculturalism Act (1988), novels written by immigrants and ethnic minorities have become increasingly prominent on Canadian bestseller lists, at the same time as they have come to play an important role in altering the themes, forms, and reception of the Canadian novel. A new type of “regional” novel has emerged since the late 1990s, written by immigrants who have chosen to set their works in the countries from which they have emigrated: Sri Lanka (Ondaatje, 1982, *Running in the Family*); Shyam Selvadurai, 1994, *Funny Boy*); Tanzania (M. G. Vassanji, 1989, *The Gunny Sack*); India (Rohinton Mistry, 1991,

Such a Long Journey; 1995, *A Fine Balance*); Lebanon (Rawi Hage, 2006, *De Niro's Game*); and elsewhere. Ethnic minority writers have helped to broaden the novel's thematic scope by fusing Canadian themes with motifs and images from non-Canadian milieus, such as China (Larissa Lai, 1995, *When Fox is a Thousand*), Japan (Hiromi Goto, 1995, *A Chorus of Mushrooms*), and India (Anita Rau Badami, 1997, *Tamarind Mem*), among others. Important novelists not to be overlooked include “pioneers” of the African Canadian novel (Austin Clarke, 1967, *The Meeting Point*), the Japanese Canadian novel (Joy Kogawa, 1981, *Obasan*), the Chinese Canadian novel (Sky Lee, 1990, *Disappearing Moon Café*; Denise Chong, 1994, *The Concubine's Children*; Wayson Choy, 1995, *The Jade Peony*), and the aboriginal novel (Jeannette Armstrong, 1985, *Slash*; Thomas King, 1990, *Medicine River*). Since the 1970s, a growing number of works by immigrants have also helped to broaden the cultural and geographic scope of the Quebec novel. Foundational figures in this context include the Iraqi-born Jewish writer and intellectual Naïm Kattan (1975, *Adieu, Babylone; Farewell, Babylon*); the French-born writer of Jewish Polish extraction, Régine Robin; Haitian Canadians such as Gérard Étienne (1974, *Le Nègre crucifié; The Crucified Negro*; 2004, *Au Bord de la falaise; By the Cliff's Edge*), Émile Ollivier (1983, *Mere Solitude; Mother Solitude*), and Dany Laferrière (1985, *Comment faire l'amour avec une nègre sans se fatiguer; How to Make Love to a Negro*); the Brazilian-born Sergio Kokis (1994, *Le Pavillon des Miroirs; Funhouse*); and the Chinese-born Ying Chen (1995, *L'ingratitude; Ingratitude*).

In the face of landmark cultural and constitutional changes, regional and psychological novels have continued to explore traditional concerns about the value of social stability, tradition, and individual security in times of change. Writers of

traditional regional realism from the 1960s to the present who have tackled themes of community and custom include Margaret Laurence, whose celebrated “Manawaka” novels—so called because they center on the province of Manitoba (1961, *The Stone Angel*; 1966, *A Jest of God*; 1969, *The Fire Dwellers*)—explore the palpability of individual and communal histories; David Adams Richards, whose *Nights Below Station Street* (1988) and *The Lost Highway* (2008), among others, investigate the power of human kindness to bind members of even the bleakest communities in New Brunswick’s Miramichi region; and Alistair MacLeod, whose *No Great Mischief* (1999) examines the sublime effects of landscape and tradition on inhabitants of Nova Scotia’s Cape Breton Island. The postmodern novel has achieved unique depths of psychological introspection in works by Carol Shields, whose *Swann* (1987), *The Stone Diaries* (1993), and *Unless* (2002) embed women’s lives, voices, and perspectives in larger explorations of the purpose of life.

From the 1980s to the present, important trendsetting novels have narrowed the gap between “high” and “popular” culture. These include “coming-of-age” technology novels by Douglas Coupland (1991, *Generation X*), SCIENCE FICTION novels in the “cyberpunk” tradition by William Gibson (1984, *Neuromancer*; 1986, *Count Zero*; 1988, *Mona Lisa Overdrive*), and graphic historical novels by Chester Brown and Bernice Eisenstein (2006, *I Was a Child of Holocaust Survivors*). The “poet’s novel” represents a thriving, hybrid form of the novel which, according to Ian Rae, adapts features from lyric poetry to broaden the boundaries of conventional, plot-driven realist novels (3). Notable “poet’s novels” include Carson’s celebrated *Autobiography of Red: A Novel in Verse* (1998), and such precursors as Leonard Cohen’s *Beautiful Losers* (1970) and Anne Michaels’s *Fugitive*

Pieces (1998). The proliferation of these inventive, hybrid forms suggests that the Canadian novel is enjoying sustained vibrancy after three and a half centuries of literary history.

SEE ALSO: Comparativism, Psychoanalytic Theory.

BIBLIOGRAPHY

- Blodgett, E.D. (2004), “Francophone Writing,” in *Cambridge Companion to Canadian Literature*, ed. E.-M. Kröller.
- Dostaler, Y. (1977), *Infortunes du roman dans le Québec du XIXe siècle*.
- Hutcheon, L. (1988), *Canadian Postmodern*.
- Lemire, M. (1970), *Grands thèmes nationalistes du roman historique canadien-français*.
- New, W.H. (2003), *History of Canadian Literature*, 2nd ed.
- Rae, I. (2008), *From Cohen to Carson*.
- Simon, S. (1994), “Présentation,” in *Fictions de l’identitaire au Québec*.
- Sorfleet, J.R. (1976), “French Canada in Nineteenth-Century English-Canadian Historical Fiction,” diss., University of New Brunswick.

Caribbean

ROBERTO IGNACIO DÍAZ

Divided by several languages and split into diverse political entities, the Caribbean is often difficult to imagine as one clearly recognizable cultural or literary community. The Caribbean archipelago includes thirteen sovereign states—from Haiti, the Dominican Republic, and Cuba, which obtained their independence in the nineteenth and early twentieth centuries, to Jamaica, Trinidad, Tobago, and seven other former British colonies now part of the Commonwealth of Nations—as well as territories variously linked to old and new imperial

powers, including Guadeloupe and Martinique, overseas departments of France; Puerto Rico, a U.S. commonwealth; Aruba and the Netherlands Antilles, self-governing regions within the evolving Kingdom of the Netherlands; plus numerous possessions of Britain, France, and the U.S. The languages of the Caribbean include standard and non-standard versions of Spanish and English, French and French-based creoles, and Dutch and Papiamentu, plus various others (Alleyne, 166), a linguistic plurality that bespeaks and contributes to a fragmentation within the Caribbean by distancing geographical neighbors, even as the same plurality draws some places closer to more distant cultural configurations. Authors and readers in the Spanish-speaking Caribbean, for instance, have stronger bonds with their counterparts in other parts of Latin America, or even Spain, than with literary communities in, say, Barbados or Guadeloupe, which, in turn, are drawn to larger bodies, such as Commonwealth and Francophone literatures, respectively.

Linguistic division is further reinforced by language-based academic structures and scholarly discourses as well as by the various historical trappings of literary cultures in which linguistic harmony, or a sense thereof, remains a supreme value—or, as in the case of this entry, the most transparent taxonomical principle. Several novelists from the Caribbean have received important literary prizes—the Premio Cervantes, the Prix Goncourt, the Man Booker Prize—but these too reflect the long reach of linguistic homogeneity as a unifying concept stemming from, and still connected to, European metropolitan centers. In this regard, migration, mainly to Europe and North America, is yet another factor in the centrifugal character of the Caribbean and its literature. (To complicate matters, authors and texts from Central and South American countries with Caribbean coasts

are often viewed as part of one Caribbean literature, which makes much sense in the cases of Guyana and Suriname, or perhaps Panama, with fundamental cultural and historical ties to the Caribbean, but less so when it comes to larger nations.) The field of Caribbean studies is rapidly growing, as scholars identify and analyze important commonalities in economics, history, LINGUISTICS, music, politics, and religion (Knight and Martínez-Vergne; Kurlansky; Mintz and Price), but the fact remains that Caribbean literature, including the Caribbean novel, is something of a critical and literary-historical afterthought, albeit one that is increasingly relevant and compelling (Figueredo; Luis).

The idea of the Caribbean as a valid cultural category has found support in critical and theoretical studies that view the Caribbean as a disseminated formation and Caribbean literature as one recognizable, if dispersed, corpus. A crucial contribution is that of Édouard Glissant, the essayist, novelist, poet, and playwright from Martinique, whose theoretical work has appeared in English as *Caribbean Discourse* (1989) and *Poetics of Relation* (1997). Departing from the influential discourse of *négritude*, which stressed African roots, Glissant focused on *antillanité*, which emphasized the multiple ethnic strains that merge in the region, and *créolité*, which underscored the ties that bind the Caribbean to other parts of the Americas, including Latin America and the U.S. South (especially as it pertains to William Faulkner's fiction). Informed by chaos theory and drawing on various disciplines is Antonio Benítez Rojo, the Cuban fiction writer and scholar whose *La isla que se repite: el Caribe y la perspectiva posmoderna* (1996, *The Repeating Island: The Caribbean and the Postmodern Perspective*) played a role in the view of the Caribbean as one cultural entity. Although Benítez Rojo explores the writings of Bartolomé de las

Casas, who defended the native peoples and proposed the importation of African slaves, and Fernando Ortiz (1881–1969), the Cuban anthropologist who conceived the influential theory of transculturation, as well as poets such as Derek Walcott (1930–), the Nobel laureate from St. Lucia, and Nicolás Guillén (1902–89), one of the founders of Afro-Cuban poetry, Benítez Rojo’s focus is largely on fiction. The concept of “island” is crucial in his understanding of the region, and the Caribbean emerges in his words as a “meta-archipelago” without limits or center:

Thus the Caribbean flows outward past the limits of its own sea with a vengeance, and its *ultima Thule* may be found on the outskirts of Bombay, near the low and murmuring shores of Gambia, in a Cantonese tavern of circa 1850, at a Balinese temple, in an old Bristol pub, in a commercial warehouse in Bordeaux at the time of Colbert, in a windmill beside the Zuider Zee, at a café in a barrio of Manhattan, in the existential *saudade* of an old Portuguese lyric. (4)

Benítez Rojo’s cartography may at first seem absurdly global, yet the practice of the novel by authors variously connected with the Caribbean amply demonstrates the long reach of Caribbean culture.

THE NOVEL IN THE SPANISH-SPEAKING CARIBBEAN

Given that Cuba alone is far larger and more populous than any other country in the Caribbean, and that Havana is arguably the most important Caribbean city, it is not surprising that the island should possess the most established novelistic tradition in the region, going back to the first decades of the nineteenth century, well before the country’s independence in 1902. The Dominican Republic and Puerto Rico are

smaller countries—albeit Santo Domingo and San Juan have surpassed Havana in population—but they too have a significant novelistic tradition. Because of considerable migration to such cities as New York and Miami, writers of Cuban, Dominican, and Puerto Rican ancestry have made major contributions, mostly in English, to U.S. Latina/o literature.

The Novel in Colonial Cuba

Although best known as a Romantic poet, José María Heredia, whose life was spent mostly in exile, may have been the author of *Jicoténcal* (1829), a HISTORICAL novel—the first in Spanish America—on the conquest of Mexico published anonymously in Philadelphia; it has also been credited to Félix Varela, the Cuban priest who lived in the U.S. and wrote widely on philosophical subjects. Gertrudis Gómez de Avellaneda, who lived in Spain and is also considered a Spanish author, wrote *Sab* (1841), the exalted story of the eponymous former slave who is madly in love with Carlota, a white woman. She in turn loves Enrique, a handsome man of English descent who courts her mostly for her perceived wealth. Because of their racial difference, Sab’s passion for Carlota is doomed to failure from the start, but Avellaneda’s text, which predates Harriet Beecher Stowe’s *Uncle Tom’s Cabin* (1852), succeeds as a denunciation of racial prejudice and injustice, often voiced by Sab himself. The novel ends with Sab’s poignant letter tracing a parallel between the situation of slaves and that of women in colonial Cuba.

The subject of RACE is also central in Cirilo Villaverde’s *Cecilia Valdés o la Loma del Ángel* (1882, *Cecilia Valdés or El Ángel Hill*). Considered as the most important Cuban novel of the nineteenth century, it is an elaborate and daring tale of love and incest—Cecilia is an illegitimate mixed-race young woman who falls in love with her

white brother—as well as a vast panorama of race and social relations in 1830s Cuba. Traversing the racially marked spaces of colonial society, from the brutal sugarcane fields to an elegant ball at Havana's Philharmonic Society, *Cecilia Valdés* partially conforms to the practices of Spanish American *costumbrismo*, the picturesque sketches of manners and customs that recorded such things as local dances and music (see REGIONAL), but it also foregrounds realistically the dreadful consequences of colonialism and slavery.

José Martí, who died for the cause of Cuban independence, is best known as an essayist and poet, but he also penned a novel, *Amistad funesta* (1885, Tragic Friendship), heralded as the first novel of *modernismo*, the Spanish American movement that replenished literature in Spanish by creating a new luxuriant poetical language modeled in part on modern French poetry and prose and, in the case of Martí, on the classics of the sixteenth—seventeenth century Spanish Golden Age.

The Novel in Cuba after Independence

The corpus of the twentieth-century Cuban novel features diverse experiments in the craft of fiction that may be linked with Anglo-European MODERNISM. Enrique Labrador Ruiz invented the *novelas gaseiformes*, including *El laberinto de sí mismo* (1933, The Labyrinth of Oneself), whose randomly moving structures break with the conventions of literary REALISM, while Dulce María Loynaz, a poet awarded the Premio Cervantes, wrote *Jardín* (1951, Garden), whose insubstantial plot is vaguely restricted to a woman's reminiscences of her romantic past. Virgilio Piñera wrote *La carne de René* (1952, *René's Flesh*), the sadomasochistic and homoerotic tale of a young man's education in all things carnal, by which, uncannily, is meant both flesh and meat.

The top Cuban novelist is Alejo Carpentier, whose work is often linked to the concept of MAGICAL REALISM, though it is arguably more useful to view it in the context of what Carpentier himself termed *lo real maravilloso* (the marvelous real), i.e., the sense of amazement stemming from the conjunction of opposing worldviews in the culturally heterogeneous Americas. Carpentier introduces the marvelous real in the preface to *El reino de este mundo* (1949, *The Kingdom of This World*), a historical novel set in Haiti around the French Revolution (1787–99), in which the execution of the slave Mackandal on a public square is interpreted differently by the colony's inhabitants; if the Europeans believe that he dies at the stake, the Africans see him turning into a bird and flying away, a metamorphosis that will allow him to continue the slave revolt. Similarly, *Los pasos perdidos* (1953, *The Lost Steps*) explores transculturation in the New World as it traces a musicologist's spatial and temporal progress from a modern city to the heart of the South American jungle in search of the world's oldest musical instrument (see SPACE, TIME). But Carpentier's greatest Caribbean novel is *El siglo de las luces* (1962, *Explosion in a Cathedral*), the tale of two siblings, Esteban and Sofía, and their passionate liaisons with Victor Hughes (1761–1826), the French revolutionary leader with whom Sofía falls in love and under whose magnetic command Esteban travels from Havana to the French Pyrenees, Cayenne, and elsewhere. Published in the early years of the Cuban Revolution (1956–59), which Carpentier wholeheartedly supported, this historical novel presents an ambiguous vision of revolutionary struggles, as the lofty ideals of liberty, equality, and brotherhood become entangled with violent authoritarianism, signaled by a guillotine, the first image in the novel.

Besides the *real maravilloso*, Carpentier elevated the baroque as a theory for trans-

cultural exchanges in Latin America; indeed, the term *neobaroque* has become virtually synonymous with much of Cuban fiction. A sumptuous figuration thereof is *Concierto barroco* (1974, *Baroque Concert*), a short novel about a Mexican traveler in eighteenth-century Venice who disputes the historical flaws of Antonio Vivaldi's *Montezuma* (1732) even as Carpentier's own text deploys numerous anachronisms of its own, including a vision of Richard Wagner's (1813–83) funeral procession along the Grand Canal and an uncanny picnic attended by Vivaldi (1678–1741) and others near Igor Stravinsky's (1882–1971) grave. An ironic meditation on the vagaries of writing and reading about cultures other than one's own, *Concierto barroco* also celebrates transatlantic hybridities, best perceived in the trumpet's journey from the Bible through Georg Frideric Handel's (1685–1759) *Messiah* (1741) to Cuban and North American music, especially jazz.

Pinnacles of the New World neobaroque are *Paradiso* (1966, *Paradise*) and its unfinished sequel, *Oppiano Licario* (1977), by José Lezama Lima, a poet renowned for the difficulty of his erudite verses, a style which he first rehearsed in his first poem, "Muerte de Narciso" (1937, Death of Narcissus), and then transposed to his fiction. Linked by critics to the works of Marcel Proust and James Joyce, *Paradiso* is the strangest of novels, a complex *künstlerroman* (see *BILDUNGSROMAN*) whose subject seems to be the art of poetry, or the notion of the image, and whose plot—mostly a realistic tale, though at times densely hermetic and seemingly disconnected from the main action—encompasses the family saga of José Cemí, a fictional metamorphosis of Lezama Lima himself; his passionate friendship with the handsome Fronesis and the perilous Foción; and his involvement with Oppiano Licario, a rather mysterious character through whom he will investigate his incipient poetic

vocation. On publication, *Paradiso* achieved a certain *succès de scandale* because of its graphic depiction of homosexual acts in chap. 8, but its *succès d'estime* has been more lasting. A passionate reader of Lezama Lima and a sophisticated theorist of the baroque and neobaroque is Severo Sarduy, who, as an exile in Paris, wrote seven of the most intricate novels of Caribbean literature, from *Gestos* (1963, *Gestures*) and *De donde son los cantantes* (1967, *From Cuba with a Song*)—which Barthes praises for demonstrating "qu'il n'y a rien à voir derrière le langage" (that there is nothing to see behind language)—to *Cobra* (1972), *Maitreya* (1978), *Colibrí* (1984, *Hummingbird*), *Cocuyo* (1990) and *Pájaros en la playa* (1993, *Birds at the Beach*), a posthumous work on beauty, illness, and the body.

Also among the writers who went into exile after the Revolution was Guillermo Cabrera Infante, viewed as one of the key figures in the Latin American boom of narrative fiction in the 1960s, especially for *Tres tristes tigres* (1967, *Three Trapped Tigers*), a highly cinematic novel about the nocturnal exploits of three men in Havana as well as an unrelenting succession of puns whereby the official sites of high culture seem to collapse. The name of Bach, for instance, yields to linguistic radicalism and turns into "Bachata," or a raucous party, performed by the text itself as the main characters drive along the city's seaside boulevard, listening to a baroque piece (by Vivaldi) on the radio: "¿Qué diría el viejo Bacho si supiera que su música viaja por el Malecón de La Habana, en el trópico, a sesenta y cinco kilómetros por hora" ("Bachata, I"; "What would the old boy Bach say if he knew that his own music was speeding along the Malecón of Havana, in the tropics, at sixty miles an hour?"). A British subject and a longtime resident of London, Cabrera Infante never stopped writing about Havana, most affectingly in

the semiautobiographical *La Habana para un Infante difunto* (1979, *Infante's Inferno*), whose title alludes both to Maurice Ravel's (1875–1937) melancholy piano piece and the author's literary search for his lost city, yet again rehearsed in the unfinished *La ninfa inconstante* (2008, *The Unfaithful Nymph*).

Best known in English for *Antes que anochezca* (1992, *Before Night Falls*), his memoirs later adapted into a well-known film, Reinaldo Arenas wrote numerous novels, including *El mundo alucinante* (1966, *Hallucinations*), about Fray Servando Teresa de Mier (1765–1827), the Mexican author and priest persecuted by the religious establishment; *Otra vez el mar* (1982, *Farewell to the Sea*), about a closeted homosexual man in revolutionary Cuba; and *El portero* (1987, *The Doorman*), set in New York, where Arenas lived.

A case apart is that of Miguel Barnet, an anthropologist who became a novelist with *Biografía de un cimarrón* (1966, *Autobiography of a Runaway Slave*). The text's composition began as the oral narrative of 105-year-old Esteban Montejo (1860–1973), who had been a slave in colonial times and recounted his story to Barnet, who then wrote it down in the form of a novel. The work is a classic of Latin American testimonial literature, and it was also turned into a dramatic musical piece, *El Cimarrón*, by Hans Werner Henze (1926–), the German composer.

Contemporary Cuban novelists include Mayra Montero, a longtime resident of Puerto Rico, whose *Tú, la oscuridad* (1995, *In the Palm of Darkness*) may be read as an ecological meditation on Carpentier's *El reino de este mundo*; Leonardo Padura, best known for *Las cuatro estaciones* (1991–98, *The Four Seasons*), a tetralogy of detective novels set in Havana; and Zoé Valdés, who lives in Paris and is the author of *La nada cotidiana* (1995, *Yocandra in the*

Paradise of Nada), a denunciation of life in Castro's Cuba. Oscar Hijuelos, who received the Pulitzer Prize for *The Mambo Kings Play Songs of Love* (1990), and Cristina Garcia, author of *Dreaming in Cuban* (1992) and *Monkey Hunting* (2003), are important Cuban American figures in the landscape of U.S. Latino literature.

The Novel in the Dominican Republic and Puerto Rico

Manuel de Jesus Galvan and Eugenio María de Hostos wrote historical novels about the islands' indigenous peoples, who unlike their counterparts on the mainland became extinct soon after the European conquest. The foremost Dominican novelist, Galván adopts an overtly Christian perspective in *Enriquillo* (1882, *The Cross and the Sword*); Bartolomé de las Casas (1474–1566), whose writings are profusely quoted in the text, is also a character in this romantic tale of a native chief and his mixed-race cousin. Hostos, like Martí in Cuba, was a political man, advocating the independence of his native Puerto Rico. In *La peregrinación de Bayoán* (1863, *Bayoán's Pilgrimage*), also set in early colonial times, the main characters—Bayoán, Darién, Guarionex—stand for the largest Caribbean islands—Puerto Rico, Hispaniola, Cuba—for whose political union, in the form of an Antillean Confederation, Hostos strove.

In the last third of the twentieth century, several Puerto Rican novelists made an imprint in Caribbean literature. Luis Rafael Sánchez, a playwright and a novelist, is best known for *La guaracha del Macho Camacho* (1976, *Macho Camacho's Beat*), which takes place over the course of one afternoon and whose characters, belonging to various social classes and scattered throughout traffic-congested San Juan, are nevertheless connected by Macho Camacho's ubiquitous tune, "La vida es una cosa fenomenal" ("Life

is a phenomenal thing”), whose thrust the language-driven text seems to mimic. A masterful short story writer, Rosario Ferré, penned the collection *La caja de Pandora* (1976, *The Youngest Doll*), which includes the EPISTOLARY novella “La bella durmiente” (Sleeping Beauty) as well as several novels that focus on CLASS and GENDER relations; some of these novels, including *The House on the Lagoon* (1995) and *Eccentric Neighborhoods* (1998), were written in English.

The intertwined issues of bilingualism and interlingualism inform the works of Giannina Braschi, born in San Juan and a resident of New York, whose *Yo-Yo Boing!* (1998), a postmodernist novel of sorts written in “Spanglish,” has garnered much praise in some scholarly circles. Indeed, the English-language corpus of fiction by U.S. authors of Dominican and Puerto Rican descent continues to grow. Julia Alvarez, born in New York of Dominican parents, is the author of *How the Garcia Girls Lost Their Accent* (1991), while Junot Diaz, a native of Santo Domingo, won the Pulitzer Prize for *The Brief Wondrous Life of Oscar Wao* (2007).

THE NOVEL IN THE ANGLOPHONE CARIBBEAN

Two authors from the British West Indies were awarded the Nobel Prize for literature, and in their lectures in Stockholm they put forth divergent views on the import of the Caribbean. Although born in Trinidad, V. S. Naipaul praised Britain and India as the two great civilizations in his background, but failed to acknowledge the Caribbean. Derek Walcott, on the other hand, read a lecture that focused on the East Indian village of Felicity in Trinidad, a community presented as typical of the Caribbean as a whole. Walcott’s title, “The Antilles: Fragments of Epic Memory,” and general argument find a

sense of fullness in the region’s splintered makeup: “That is the basis of the Antillean experience, this shipwreck of fragments, these echoes, these shards of a huge tribal vocabulary, these partially remembered costumes, and they are not decaying but strong.”

An author in whose fictional corpus the Caribbean vanishes at times, yet also resurfaces with the intensity of its rich cultural legacy, is Jean Rhys, born in Dominica and a resident of England and other European countries since age 16. Rhys’s four prewar novels, starting with *Quartet* (1928), are all set in Europe, and while *Voyage in the Dark* (1934) features a West Indian protagonist, *Good Morning, Midnight* (1939) is the story of a woman of indeterminate origin; as for *After Leaving Mr. McKenzie* (1930), Naipaul, in a review, underscored the excision of the West Indies in the main character, who seems devoid of a past. Erasure, curiously, is just the opposite of what Rhys carries out in *Wide Sargasso Sea* (1966), her best known work. In this “prequel” to Charlotte Brontë’s *Jane Eyre* (1847), Rhys invents a history that seeks to explain the madness of Bertha Mason, renamed Antoinette, thereby engaging in what many view as an important postcolonial response to an English classic.

The relations between Europe and the New World are also a major theme in the fiction of Wilson Harris, whose first novel, *Palace of the Peacock* (1960), deals with an infernal jungle expedition in search of cheap native labor; it inaugurates the *Guyana Quartet* as well as a vast fictional oeuvre comprising over twenty novels set in various historical periods and continents. Born in Barbados, George Lamming wrote *In the Castle of My Skin* (1953), a coming-of-age tale of class and race set on his native island before independence from Britain. Walcott, born in St. Lucia, is first and foremost a poet, but some of his longer works boast a strong narrative thrust and may be read as verse

novels; *Omeros* (1990) is his reformulation of Homer's *Iliad*, now set in the Caribbean, while *Tiepolo's Hound* (2000) focuses on Camille Pissarro (1830–1903), the Impressionist painter born in the Danish West Indies.

The Nobel Prize for literature was awarded to Naipaul in 2001 for “having united perceptive narrative and incorruptible scrutiny in works that compel us to see the presence of suppressed histories.” Indeed, Naipaul's fiction, like that of other writers from the Caribbean, often focuses on the untold stories of colonialism, but what emerges from his carefully crafted prose is not a black-and-white world, but an empire of contradictions. *A House for Mr. Biswas* (1961), his first international success, focused on the small life of an Indo-Trinidadian not unlike his own father, while *The Mimic Men* (1966), also set in the Caribbean, is quoted by postcolonial theorist Homi Bhabha in “Of Mimicry and Man.” The author of piercing travel narratives about different parts of the world, Naipaul, like Joseph Conrad, with whom he is often compared, has set some of his fiction in far-flung locations; *A Bend in the River* (1979), for instance, takes place in a central African nation torn by violence. But he has also scrutinized England, where he has lived since 1950; *The Enigma of Arrival* (1987) presents a writer like Naipaul who, while living in a village near Stonehenge, considers various episodes of his past.

Born in Antigua and a resident of Vermont, Jamaica Kincaid is the author of an eloquent contemporary indictment of colonialism, *A Small Place* (1988), and four largely semiautobiographical novels, including *Annie John* (1985) and *The Autobiography of My Mother* (1996), both of which deal with mother-and-daughter relations. Her novel *Lucy* (1990), is the story of an au-pair girl from the Caribbean in an upscale New

York household, while *My Brother* (1997), is a story of AIDS.

British authors of West Indian descent have also written highly acclaimed novels that represent the Caribbean at least partially. Andrea Levy wrote *Small Island* (2004), the title of which invokes both Jamaica and Britain, while Zadie Smith, whose mother was Jamaican, is the author of *White Teeth* (2000), a masterful tale of multiethnic families in London and beyond.

THE NOVEL IN THE FRANCOPHONE CARIBBEAN

Although theories of *la Francophonie* inform much of the discourse about the literature of the French West Indies, the concept of the Caribbean is also significant in the discussion about culture in the region. Besides Glissant's theoretical work, statements by major novelists also serve to underscore the idea of a Caribbean cultural identity. In an interview, Patrick Chamoiseau minimized the role of linguistic unity in favor of a shared pan-Caribbean mindset:

Je suis plus proche d'un Saint-Lucien anglophone ou d'un Cubain hispanophone que n'importe quel Africain francophone ou Québécois francophone. Vous voyez, les langues, aujourd'hui, ont perdu leur pouvoir de pénétration, de structuration profonde d'une identité, d'une culture, d'une conception du monde. (Gauvin, 37) [I'm closer to an Anglophone St. Lucian or a Spanish-speaking Cuban than to any Francophone person from Africa or Quebec. You see, languages today have lost their power of insight, of deeply structuring an identity, a culture, or a worldview.]

The contributions of French West Indian authors to the Caribbean novel are numerous. Jacques Roumain, born in Haiti, wrote *Gouverneurs de la rosée* (1944, *Masters of the Dew*), the story of a man trying to save his

village from drought. René Depestre, a poet also from Haiti, penned *Hadriana dans tous mes rêves* (1988, *Hadriana in All My Dreams*) a story of voodoo, zombies, and eroticism that some have read in the contexts of Carpentier's *real maravilloso* and of self-exoticism. Edwidge Danticat, a Haitian American author, is the author of *The Farming of Bones* (1998), a tragic love story set against the political persecution of Haitians in the Dominican Republic of the 1930s.

Glissant's novels, the first of which is *La Lézarde* (1958, *The Ripening*), are often read in the context of his contributions to post-colonial theory. Maryse Condé was, like Glissant, a university professor. Born in Guadeloupe, her often historical fiction includes the two parts of *Ségou* (1984–85, *Segu*), about religious and political struggles in what is now Mali, and *Moi, Tituba, sorcière noire de Salem* (1986, *I, Tituba, Black Witch of Salem*), which deals with colonial New England. *La vie scélérate* (1987, *Tree of Life*), was awarded the Prix de l'Académie française. It and *Traversée de la mangrove* (1989, *Crossing the Mangrove*), are both set in Guadeloupe.

The most accomplished of all Caribbean Francophone writers is arguably Patrick Chamoiseau, born in Martinique and the author of several novels, including *Texaco* (1992), which was awarded the Prix Goncourt. Written in French nuanced with Creole, the text covers some 150 years in the history of Martinique, as narrated mostly by Marie-Sophie Laborieux, the daughter of slaves and founder of Texaco, the shantytown named for the nearby oil refinery. Her interlocutor is a city planner identified as Christ, whom she must convince, through the power of her tongue, to spare Texaco from being razed. A Scheherazade of sorts, Marie-Sophie narrates a series of fascinating stories, often by resorting to journals and letters, that often concern her father, Ester-nome, born on a sugar plantation, and

milestones in the island's history, from the abolition of slavery in 1848 to de Gaulle's visit in 1966. What prevails, in the end, is the power of language and stories to change minds, as the city planner reveals:

C'est elle, la Vieille Dame, qui modifia mes yeux. Elle parlait tant que je la crus in instant délirante. Puis, il y eut dans son flot de paroles, comme une permanence, une durée invincible dans laquelle s'inscrivait le chaos de ses pauvres histoires. J'eus le sentiment soudain, que Texaco provenait de plus loin de nous-mêmes et qu'il me fallait tout apprendre. Et même: tout réapprendre . . . (Book Two, "The Age of Crate Wood") [That's her, the Old Woman who gave me new eyes. She spoke so much that for a moment I thought she was delirious. But then, a certain permanence appeared in her flood of words, like an invincible duration that absorbed the chaos of her poor stories. I suddenly got the feeling that Texaco came from the deepest reaches of ourselves and that I had to learn everything. And even: to relearn everything . . .]

Marie-Sophie's stories—and, by implication, Chamoiseau's text—emerge as powerful example of how stories, or the novel as a genre, create and validate communities.

BIBLIOGRAPHY

- Alleyne, M.C. (1985), "A Linguistic Perspective on the Caribbean," in *Caribbean Contours*, ed. S.W. Mintz and S. Price.
- Barthes, R. (1967), "Sarduy: La face baroque," *La quinzaine littéraire* 28:13.
- Brown, S. (1999), "Introduction," in *Oxford Book of Caribbean Short Stories*, ed. S. Brown and J. Wickham.
- Condé, M. and B. Lecherbonnier, eds. (1977), *Roman antillais*.
- Dash, J.M. (1998), *Other America*.
- Donnell, A. and S.L. Welch, eds. (1996), *Routledge Reader in Caribbean Literature*.

- Figueredo, D.H., ed. (2005), *Encyclopedia of Caribbean Literature*.
- Gauvin, L. (1997), *Écrivain francophone à la croisée des langues*.
- Goic, C. (1972), *Historia de la novela hispanoamericana*.
- Guinness, G. (1993), *Here and Elsewhere*.
- Knight, F.W. and T. Martínez-Vergne (2005), *Contemporary Caribbean Cultures and Societies in a Global Context*.
- Kurlansky, M. (1992), *Continent of Islands*.
- Luis, W. (2005), "The Caribbean Novel," in *Cambridge Companion to the Latin American Novel*, ed. E. Kristal.
- Murdoch, H.A. (2001), *Creole Identity in the French Caribbean Novel*.
- Paravisini-Gebert, L. and O. Torres-Seda, eds. (1993), *Caribbean Women Novelists*.
- Ramchand, K. (1970), *West Indian Novel and Its Background*.
- Walcott, D. (1992), "The Antilles," Nobel Lecture, 7 Dec., http://nobelprize.org/nobel_prizes/literature/laureates/1992/walcott-lecture.html

Carnival *see* Bakhtin, Mikhail
Cellphone Novel *see* Japan

Censorship

ELISABETH LADENSON

Under "novel," Gustave Flaubert's *Dictionary of Accepted Ideas* claims novels "Corrupt the masses" (1913, trans. J. Barzun). Flaubert knew what he was talking about, since the trial of *Madame Bovary* in France in 1857 is perhaps the most notorious literary censorship trial of all. Novels have always been viewed by censors and would-be censors as a particularly dangerous literary form, given their potential appeal to a broad readership, and especially a female readership, as in the case of *Madame Bovary*. The particular aspects of fictional narrative that have been perceived as dangerous, and the measures undertaken to meet that danger, have changed over the course of time.

FORMS OF CENSORSHIP

The word *censorship* derives from the Roman office of censor, charged with taking the census of citizens but eventually including the oversight of moral behavior. *Censorship* refers to the suppression of spoken or written expression. In literary terms this has taken different forms at different times, and the category has been used for a variety of phenomena.

From the advent of the printing press in the fifteenth century roughly through the eighteenth century in Europe, prior censorship was the norm (see PAPER AND PRINT). Government and ecclesiastic bodies vetted works prior to publication and accorded an early form of COPYRIGHT in exchange for approval of content. This did not prevent the printing and dissemination of works outside the bounds of official censorship. Writers, publishers, and booksellers have always found ways to make illicit works available to a public eager to read them (see PUBLISHING). Prepublication censorship was the most effective form; it remained the norm until the nineteenth century and has returned at times under repressive political regimes. Iran, for instance, has never ceased to operate under this system.

During the nineteenth century and throughout much of the twentieth prepublication vetting was replaced in Europe by a subtler form of control. Authors were free to publish anything they liked as long as they could find a publisher willing to publish it, the latter could find a printer willing to print it, and booksellers were willing to sell it. Until the late twentieth century, governments in most countries exercised the right to post-publication suppression following legal proceedings; as a result, the publishing industry exercised its own form of control on publications. Since authors and publishers, and often printers and booksellers, were subject to fines and even jail

sentences if the work was found culpable under this system, all concerned had a considerable stake in avoiding legal proceedings.

Another less visible form of censorship often deployed against novels is expurgation. Offending passages are simply removed or modified. This practice is known as bowdlerization, after the Rev. Thomas Bowdler, who published expurgated versions of William Shakespeare (1554–1616) and of Edward Gibbon's *Decline and Fall of the Roman Empire* (1776–88), rendering them suitable for READING ALOUD to mixed-sex audiences. Bowdlerization has been widespread from ancient régime France, in which special editions of works were produced for the use of the dauphin, the eldest son of the king, through more recent times. In the 1960s Hugh Lofting's *Story of Doctor Doolittle* (1920) was "cleaned up" to remove the impolite terms Polynesia the parrot uses to refer to black people.

The last major literary censorship trials in England, the U.S., and France took place in the 1960s. Since that time, the various forms of censorship outlined above have continued to be exercised in other parts of the world. In the West, censorship has not gone away, but it has taken different forms, emanating less from centralized government forces than from the citizenry itself, often in the form of local pressure groups. The subjects of perceived danger have also changed.

DANGER ZONES

The broad categories of perceived offensiveness in the novel are sexual, political, and religious. Since sex, politics, and religion have always been intimately connected, it is not easy to distinguish these rubrics. Adultery, for instance, is a standard plot for novels and a favorite target of censorship efforts. Many works, such as the novels of

the Marquis de Sade, Flaubert's *Madame Bovary*, and D. H. Lawrence's *Lady Chatterley's Lover* (1928), as well as a number of recent novels banned in Islamic countries, have managed to offend on all three counts. Whether Christian or Islamic, theocratic regimes tend to conflate these categories and feature capacious censorship criteria as a result. The Catholic Church published its first *Index Librorum Prohibitorum* (Index of Prohibited Books) in 1559 and did not stop issuing lists of proscribed books until 1966. The *Index* consistently included novels suspect on sexual and political as well as religious grounds. The 1989 fatwa pronounced on Salman Rushdie by the Iranian authorities following publication of his *Satanic Verses* (1988) was a religious decree on grounds of blasphemy, but in such contexts the religious is a political category that necessarily extends to representations of social and sexual concerns.

In addition to these, two further subcategories have received attention. In the early twentieth century the use of "dirty words" became an issue in such works as James Joyce's *Ulysses* (1922), Lawrence's *Lady Chatterley's Lover* and Henry Miller's *Tropic of Cancer* (1934), all of which were published in France or Italy and banned for some years in English-speaking countries. By the end of the century the inclusion of words such as *fuck* and *shit*, used either as verbs, substantives, or expletives in novels was commonplace, a byproduct of the realistic depiction of everyday life. However at the same time, racial denigration became a source of concern (see RACE). In France, the category of "incitement to racial hatred" is one of the few grounds on which government censorship can be invoked. In the U.S. the word *nigger* has occasioned many attempts to ban novels from school libraries and required reading lists, notably Mark Twain's *Huckleberry Finn* (1885).

PROTECTED GROUPS

Before the nineteenth century, illiteracy provided a built-in constraint on access to novels and other written material. In the eighteenth century, PHILOSOPHICAL novels by Voltaire, Denis Diderot, and Jean-Jacques Rousseau, many of which circulated in France in clandestine form, were instrumental in bringing about the French Revolution. Their target audience was educated men and, to a lesser extent, educated women.

By the mid-nineteenth century exponentially increasing literacy rates combined with the development of cheap paper-making and printing techniques to produce a lucrative market for fiction among women and the working classes, two groups seen as lacking the discernment of educated men and therefore in need of protection (see CLASS, GENDER). In 1836 Charles Dickens's *Pickwick Papers* and Honoré de Balzac's *La Vieille Fille* (*The Old Maid*) were published in newspapers in serial form. SERIALIZATION was an immensely popular format, but it was also viewed as potentially dangerous. Multi-volume novels were also sold by subscription. Eugène Sue's blockbuster series *Les Mystères de Paris* (1842–43, *The Mysteries of Paris*) and its ilk were retrospectively seen as one of the causes of the Revolutions of 1848. A later novel by Sue was banned in France in 1857, some six months after Flaubert's trial. As a result, post-publication censorship was heightened during the Second Empire (1852–70). Novels were seen as a considerable threat to the sexual as well as the political status quo. The public prosecutor in the *Madame Bovary* trial emphasized the fact that the novel's audience would consist largely of girls and women who, like its heroine, were unable to distinguish between fiction and reality and would be corrupted by her example. In England and the U.S., French novels were viewed as posing a particular danger on political and

sexual grounds. In addition to the political and sexual perils represented by the newly literate sections of the population, during the nineteenth century "the young person" began to be a central focus of censorial attention. This attitude was immortalized in Dickens's *Our Mutual Friend* (1864–65) in the character of Mr. Podsnap. His incessant worries about what was appropriate for "the young person" (i.e., his daughter) yielded the term "podsnappery." For some time *the young person* generally meant a girl, since boys were seen as being better able to fend for their own moral rectitude, but over the course of the twentieth century the protection of censors and would-be censors extended to children and adolescents in general.

CENSORSHIP OF PORNOGRAPHIC NOVELS

Especially in France, the eighteenth century produced a rich harvest of classic clandestine pornographic novels, along with much of what is now regarded as the Enlightenment canon, including philosophical works. Among these works were a number of novels that fall into a hybrid category of philosophical pornography, and indeed the word *philosophie* referred to philosophical tracts, erotic narrative, and everything in between. Examples of more or less philosophically tinged pornographic novels written and banned in France during the pre-Revolutionary period are Diderot's *Bijoux indiscrets* (1748, *Indiscreet Jewels*), an Orientalist work featuring talking vaginas; Claude-Prosper Jolyot de Crébillon *fil's* *Le Sopha* (1742, *The Sofa*), which recounts the memoirs of a couch; and Jean-Baptiste de Boyer d'Argens's *Thérèse philosophe* (1748, *The Philosophical Theresa*). Written toward the end of the eighteenth century, the novels of the Marquis de Sade represent the most

extravagantly violent vein of this tradition. His complete works were not published openly until after WWII, occasioning a well-publicized trial in France.

The term *pornography* gained currency in the late eighteenth century. Its literal meaning is prostitute-writing, but it was initially used for proto-sociological descriptions of the conditions in which prostitutes lived and plied their trade. The most often censored novel in English, John Cleland's *Memoirs of a Woman of Pleasure, or Fanny Hill* (1748–49), was written in a successful attempt to get its author out of debtor's prison, but it quickly landed him back in jail on grounds of offending the King's subjects. *Fanny Hill* is pornography in every sense of the word since it not only features sex on every page but also takes the form of the autobiography of a prostitute. A variety of sex acts are portrayed throughout, but parts of the body are referred to exclusively through metaphor. Famously, it contains no vernacular "dirty words." It holds the distinction of being the first book on record as being banned in the U.S. (Massachusetts, 1821) as well as one of the last: it was not allowed free circulation in that country until a Supreme Court case in 1966. Like the works of the Marquis de Sade, *Fanny Hill* is now widely available in various paperback "classic" editions.

CENSORED CLASSICS

A number of canonical novels have been the objects of censorship or censorship attempts. These include perennially problematic works such as Petronius's *Satyricon* (first century CE), Giovanni Boccaccio's *Decameron* (1349–53), Marguerite de Navarre's *Heptameron* (1558–59), and the works of François Rabelais, especially the

notorious *Gargantua* (1532) and *Pantagruel* (1534?), all of which have repeatedly been banned in various contexts and countries on grounds of obscenity, that is to say, the presence of sexual content, blasphemy, and vulgar language.

Many of these works were still being banned or expurgated in English-speaking countries in the nineteenth and early twentieth centuries, an era busy producing its own censorable literature. The modernist novel (see MODERNISM), with its emphatic critique of modern society, had left itself open to censorship from its prehistory with the *Madame Bovary* trial. Toward the end of the nineteenth century the Naturalist movement in France attracted a great deal of opprobrium and a number of censorship cases, although the novels of Émile Zola, founder of the movement, were banned only in England (see NATURALISM). In the late 1880s publisher Henry Vizetelly was twice prosecuted and briefly jailed for selling French novels in TRANSLATION, notably Zola's *La Terre* (1887, *The Earth*).

Joyce's *Ulysses* was the first notorious case of censorship of a now-canonical modernist novel. It was first published between 1918 and 1920 in Margaret Anderson's *Little Review* in New York in serial form. Despite having been expurgated by Ezra Pound in order to avoid censorship and because he objected to the novel's scatological theme, publication was halted by order of the court following the "Nausicaa" episode in which Leopold Bloom masturbates on the beach in full sight of the compliant Gerty McDowell. While Anderson's attorney emphasized the obscurity of the work, the presiding judge found this scene excessively comprehensible. The novel was then brought out in unexpurgated form by Sylvia Beach under the imprint of her Paris bookstore Shakespeare & Co. in 1922. It was not allowed into the U.S. until New York Supreme

Court Justice John M. Woolsey's famous decision in December 1933, the same week Prohibition (1920–33) was repealed, that the book was a work of art. Moreover, its sexual content was "emetic" rather than "aphrodisiac," and it could therefore safely be enjoyed by the American public. Publication in the U.K. soon followed.

In 1928 Radclyffe Hall, at the time a prominent English author who had won several important prizes, brought out *The Well of Loneliness*, the first mainstream novel in English centrally concerned with same-sex love. Although the book received uniformly positive reviews in the literary press, its implicit plea for tolerance of homosexuality attracted the ire of James Douglas, the editorialist of the *Sunday Express*, who wrote a scathing article deploring the moral turpitude it promoted and famously declared that he would "rather give a child a phial of prussic acid" than this book because "poison destroys the body, but moral poison destroys the soul." The Home Office responded by dragging Hall's publisher, Jonathan Cape, into court under the Obscene Publications Act of 1857. Literary London turned out to support Hall and her publisher and attest to the work's literary merit, despite the feeling among many of her supporters, including Virginia Woolf and E. M. Forster, that *The Well* was far from being a masterpiece. The presiding magistrate refused to allow defense testimony as to artistic merit. Merit was claimed as an exacerbating factor by the prosecution and the case was lost, but in the U.S. a similar verdict was overturned on appeal. In England the novel was banned for some twenty years. It was a long time before anyone attempted anything of the sort again (see QUEER).

Some fifteen years before the *Well of Loneliness* trial, Forster had written *Maurice*, a novel featuring a protagonist normal to

the point of mediocrity in all respects other than his sexual preference. Forster dedicated this work "to a happier year," a time when such books would not be subject to censorship and did not attempt to publish it during his lifetime. The novel first appeared in 1971 after the author's death, according to a proviso in his will. Unlike *The Well of Loneliness*, which, as its title suggests, does not end on a cheerful note, *Maurice* features a relatively happy ending which Forster knew would make the novel entirely unpublishable. Unhappy endings which provide a dose of moral retribution to unruly characters had long been used by authors wishing to take on problematic themes (e.g., adultery) while avoiding censorship. This technique was never foolproof. It did not prevent Flaubert from getting dragged into court over *Madame Bovary*, although it contributed to his acquittal, and it failed Hall in *The Well of Loneliness*. The first novel with both a homosexual theme and an optimistic ending in the U.K. seems to have been Patricia Highsmith's *The Price of Salt, Carol* (1951), initially published under the pseud. Claire Morgan.

The same year *The Well of Loneliness* was published and banned, Lawrence, who had already encountered censorship over *The Rainbow* (1915), published *Lady Chatterley's Lover* in Italy. He did not attempt to find a publisher in England. Not only does the book feature a relatively happy ending for its adulterous couple, it is filled with highly explicit sex scenes, a rich vocabulary of four-letter words, and a scathing indictment of postwar society. Lawrence died in 1930, but *Chatterley* lived on through numerous bootleg editions, some expurgated. Following notorious censorship trials in England, the U.S., and Japan it was freely published in English-speaking countries and for many heralded the advent of the sexual revolution. Philip

Larkin (1922–85) paid ironic tribute to this milestone in his poem “Annus Mirabilis” (1974):

Sexual intercourse began
In nineteen sixty-three (which was rather late
for me)
Between the end of the Chatterley ban
And the Beatles’ first LP.

CENSORSHIP ACTIVISM

By the early twentieth century, control over the dissemination of books in most Western countries operated not only through obscenity trials in the courts but also through government agencies such as the postal system and the Customs office. In Britain in the late 1920s the Conservative government’s Home Secretary, William Joynson-Hicks (1902–83), popularly known as “Jix,” was particularly keen on cracking down on obscenity and indecency in all possible forms. In 1930, just after the Conservative government had been voted out of office, Evelyn Waugh satirized this phenomenon in his novel *Vile Bodies*. Its protagonist watches helplessly as overzealous Customs agents, citing the fact that the Home Secretary is “particularly against books,” declare, “if we can’t stamp out literature in the country, we can at least stop its being brought in from outside.” They take out their list of banned titles and seize Dante Alighieri’s *Purgatorio* (1308–21) and the typescript of his unpublished autobiography from his luggage.

In the U.S., a country which has never had a coherent federal censorship law, much of the work of policing literature was undertaken at the local level by private organizations accorded semi-official functions who worked with the Post Office and Customs Bureau. The most prominent of these was the New York Society for the

Suppression of Vice, founded by Anthony Comstock (b. 1844) in 1873 and headed by him until his death in 1915, when it was taken over by the equally zealous but less flamboyant John Sumner. Comstock received a Commission to act as Special Agent of the U.S. Post Office. He became a famous figure and gave rise to both a noun, “Comstockery,” a more proactive form of “Podsnappery,” and a law, the Comstock Act of 1873, under which many books, including Geoffrey Chaucer’s *The Canterbury Tales* (1387–1400), Boccaccio’s *Decameron*, Daniel Defoe’s *Moll Flanders* (1722), and various editions of the *Arabian Nights* were seized well into the twentieth-century. The New York Vice Society, as it was known, was soon joined by other regional organizations such as the New England Watch and Ward Society, the group responsible for the notorious wave of books “banned in Boston” into the 1930s.

A part of the same “purity” movement that had called for Prohibition, the “Clean Books Crusade” spearheaded by these organizations reached its apogee in the 1920s. Among the novels deemed obscene and suppressed then in the U.S. and England were Leo Tolstoy’s novella *The Kreutzer Sonata* (1889) (also banned as indecent in Russia upon publication), Thomas Hardy’s *Jude the Obscure* (1895), Theodore Dreiser’s *An American Tragedy* (1925), Ernest Hemingway’s *The Sun Also Rises* (1926), and Sinclair Lewis’s *Elmer Gantry* (1927).

The Vice Society movement began to fade in the 1930s for a number of reasons. The Depression brought the Roaring Twenties to an abrupt end, and the insistent focus on sex in literature gave way to economic concerns on the part of both writers and publishers. The rise of Fascism in Europe, and especially the Nazi book-burnings in May 1933, in which novels by André Gide, Marcel Proust, Thomas Mann, Zola, H. G. Wells, Erich Maria Remarque, Arthur

Schnitzler, Hemingway, and Jack London were consigned to the flames, dampened censorship ardor in other countries. In the U.S. this event was referred to in cautionary terms in literary trials around this time, e.g., that of *Ulysses* in December 1933.

In the 1960s a number of prominent censorship trials led to the effective end of government literary censorship in most European countries. Novels containing explicit depictions of previously taboo themes appeared. The pseudonymous Pauline Réage's *Story of O* (1954), William S. Burroughs's *Naked Lunch* (France, 1959; U. S. 1962, and promptly banned in Boston), John Rechy's *City of Night* (1963), and Hubert Selby, Jr.'s *Last Exit to Brooklyn* (U.S. 1964, and banned in Britain 1966–68) included homosexual and sado-masochistic sex. These titles appeared under the imprint of Grove Press in the U.S. and circulated with relative freedom by the late 1960s.

By the end of the century, the Vice Society movement had been replaced in the U.S. by evangelical organizations, including the Moral Majority and Focus on the Family. With the advent of new media such as video games and the internet, novels had come to seem largely anodyne, with an important exception: children and youth still potentially needed protection from the novels assigned to them in school and available to them in libraries. As a result, censorship battles in the U.S. toward the end of the twentieth and into the twenty-first century are most often waged by individuals or groups against school boards and LIBRARIES. The most important difference between these efforts and the methods of vice societies is that the latter sought to ban works entirely from the public at large, whereas the focus in more recent times has been on preventing individual children rather than children as a general category from reading works viewed as offensive or dangerous.

For the most part, the subjects perceived as harmful have not changed a great deal. "Sexually explicit material" still heads the list of offending factors cited in challenges to the presence of books on school curricula or in municipal or school libraries, according to the American Library Association (ALA). Other grounds have included offensive language, occult themes or Satanism, violence, promotion of homosexuality, racism, "sex education," and "anti-family." The list of works among the ALA's Most Frequently Challenged Books in the early twenty-first century include many Young Adult novels by Judy Blume, Roald Dahl, S. E. Hinton, Paul Zindel, and others, as well as novels by Margaret Atwood, Aldous Huxley, Stephen King, Toni Morrison, J. D. Salinger, John Steinbeck, Mark Twain, Kurt Vonnegut, and Alice Walker.

RECENT CONTROVERSIES

In recent years, and for very different reasons, *Huckleberry Finn* and J. K. Rowling's *Harry Potter* series (1997–2007) are exemplary among the books receiving attention from groups and individuals wishing to protect young readers from nefarious influences.

Huckleberry Finn has occasioned controversy, suppression, and bowdlerization because of its purportedly ambiguous depiction of racial relations in America. The first school edition of Twain's novel omitting the word *nigger* was published in 1931. In 1957 a New York City court case involved the uncapitalized substitution of *negro* for the offending word in an edition destined for use in schools. More recently, parents have petitioned schools simply to remove the work from required reading lists, and such cases have been heard in a variety of municipal and state judicial systems.

The *Harry Potter* novels have received phenomenal worldwide popularity among

adults as well as children and adolescents since the inaugural volume in 1997, but they have also inspired bitter opposition on the grounds that they promote witchcraft and Satanism. There have been countless attempts to have them removed from school reading groups and libraries. In 2002 a pastor in New Mexico conducted a public burning of the series, denouncing it as “a masterpiece of satanic deception.” His action was in turn deplored by hundreds of protestors, who turned up to shout “stop burning books.”

ARGUMENTS FOR AND AGAINST CENSORSHIP

The basic outlines of all debates around censorship can be traced back to Plato and Aristotle. The former, through the discourse of Socrates in the *Republic*, famously banished poets, the practitioners of mimetic literary art, from his ideal society on the grounds that such representations are dangerous because they stir the emotions, and people tend to imitate what they see and hear. Aristotle, despite having been Plato's student and despite never addressing the subject per se, nonetheless paved the way for all subsequent arguments against censorship through his influential theory of catharsis. According to Aristotle the audience of a tragedy will tend to purge their own negative emotions through identification.

Almost all arguments for censorship follow the general lines of Plato's pronouncements in assuming that an audience's behavior will be influenced by the stories it is exposed to. Novels, like theater and film, have caused particular concern because all these forms have at various times been highly popular, and narrative art is seldom predicated on good behavior. Anti-censorship efforts have generally been based on the idea that audiences can think

for themselves, and that the representation of dangerous or antisocial acts can act as a cathartic imaginative release, rather than an incitement.

The novel form has long internalized these debates. Miguel de Cervantes Saavedra's *Don Quixote* (1605, 1615), *Madame Bovary*, and Vladimir Nabokov's *Lolita* (1955), for instance, foreground characters whose problematic behavior is explicitly linked to their reading habits; perhaps unsurprisingly, such works have themselves been the targets of censorship efforts.

SEE ALSO: Decadent Novel, Novel Theory (19th Century), Philosophy, Realism, Reviewing, Sexuality.

BIBLIOGRAPHY

- Boyer, P. (2002), *Purity in Print*, 2nd. ed.
 de Grazia, E. (1992), *Girls Lean Back Everywhere*.
 Ladenson, E. (2007), *Dirt for Art's Sake*.
 Perrin, N. (1969), *Dr. Bowdler's Legacy*.
 Rembar, C. (1986), *End of Obscenity*.
 Sutherland, J. (1982), *Offensive Literature*.
 Travis, A. (2000), *Bound and Gagged*.

Center of Consciousness *see* Narrative Perspective

Central America

ROY C. BOLAND OSEGUEDA

Although Central America is a cultural mosaic, it shares a common literary tradition within the six Spanish-speaking republics of Guatemala, Honduras, El Salvador, Nicaragua, Costa Rica, and Panama. The Central American novel is thought to begin in Guatemala with *La hija del adelantado* (1866, *The Governor's Daughter*), by José Milla. He initiated a vogue for historical ROMANCES followed in Nicaragua by José

Dolores Gámez, in Panama by Gil Colunje, and in Costa Rica by Manuel Argüello. Guatemalan Agustín Mencos Franco drew inspiration from Walter Scott and Alexandre Dumas for *Don Juan Núñez García* (1898), a stirring account of an Indian rebellion against colonial rule in Chiapas, while Honduran Carlos F. Gutiérrez wrote a curious historical romance, *Angelina* (1898), which combines themes of mystery, madness, and honor with eroticism.

The principal European movements of the period (Romanticism, REALISM, and NATURALISM) came to Central America via Guatemala. Although the influence of the Catholic Church curbed freedom of expression, in *Conflictos* (1898, Conflicts), Ramón A. Salazar drew a realistic picture of social problems, and in a sequence of five novels published between 1899 and 1902, Enrique Martínez Sobral portrayed the ugly underbelly of life in a naturalistic style. On the other hand, Nicaraguan Rubén Darío introduced the exotic, poetic principles of *modernismo* (see MODERNISM) to prose in *Emelina* (1887), his only completed novel. The banner of *modernismo* was also taken up by a number of Guatemalans, most prominently by Enrique Gómez Carrillo, who focused on the decadence of love and art in a sequence of finely wrought novels.

While some novelists combined the aesthetic of *modernismo* with social and political themes—among them Guatemalans Máximo Soto-Hall and Rafael Arévalo Martínez—other *modernistas* chose to explore supernatural themes, as in *El vampire* (1910, The Vampire), a chilling GOTHIC novel by Honduran Froylán Turcios modeled on Bram Stoker's *Dracula* (1897). Disenchantment with venal politicians and corruption in the Catholic Church prompted other *modernistas* to explore alternative spiritual values. Thus, in *El Cristo Negro* (1926, The Black Christ), Salvadorean Salvador Salazar Arrué, alias Salarrué,

narrates a theosophical fable in which the traditional concepts of good and evil are turned upside down. In an anticlerical novel, *Alba de América* (1920, Alba, or the American Dawn), Guatemalan César Breñas transforms the rape of the heroine by a priest into a metaphor for the perversion of hopes and aspirations in the New World.

THE EVOLUTION OF THE CENTRAL AMERICAN NOVEL IN THE TWENTIETH CENTURY

As the twentieth century progressed, the Central American novel came of age as writers experimented with four interrelated modes: *costumbrismo* (the folkloric portrayal of life and manners), *criollismo* (a focus on REGIONAL and NATIONAL realities), *indigenismo* (the defence of Indian rights and culture), and *antiimperialismo* (resistance to U.S. hegemony). Costa Rica produced a quartet of novelists who penned persuasive depictions of local reality featuring typical language and customs allied to PSYCHOLOGICAL insight and social criticism: Joaquín García Monge, Magón (pseud. of Manuel González Zeledón), Genaro Cardona, and Carmen Lyra. In El Salvador, José María Peralta gave the regional novel a satirical dimension in *Doctor Gonorreiti-gorrea* (1926), a side-splitting exposé of the national bourgeoisie's obsession with foreign goods and mores.

Central American novelists responded with profound engagement to a series of political upheavals inside and outside the region: the Mexican Revolution (1910–20); the U.S. intervention in Panama (1903); the occupation of Nicaragua by marines (1912–33); the mass slaughter of Indians in El Salvador (1932); and two periods of brutal dictatorship in Guatemala (1898–1944) followed by the overthrow of a short-lived democracy in 1954. In *Sangre*

del trópico (1930, *Blood in the Tropics*), Nicaraguan Hernán Robledo depicts the Sandinista resistance to the marines as a heroic war of liberation. In *Mamita Yunai* (1941), Costa Rican Carlos Luis Fallas denounces the exploitation of workers in Pacific coast plantations by avaricious gringos, while in *Puerto Limón* (1950) his compatriot Joaquín Gutiérrez makes a similar denunciation of the barbaric conditions endured by peons on the Atlantic coast. One of the most virulent anti-imperialistic novels was *Luna verde* (1951, *Green Moon*), by Panamanian Joaquín Beleño, who devised a medley of “Spanglish” and Caribbean dialects to compose an elegy for his young republic, represented as a pathetic victim of U.S. capitalism.

A cluster of novels offered varying interpretations of the classic Latin American dichotomy of *civilización y barbarie* (civilization and barbarism). In Guatemala, Carlos Wyld Ospina holds up the protagonist of *La gringa* (1936) as the ideal of Western civilization in opposition to tropical barbarism, while in *El tigre* (1932, *The Tiger*), Flavio Herrera describes the tropics as the site of a Darwinian struggle between the moral values of civilization and the instincts of barbarism. Honduran Arturo Mejía (Nieto) provides a different perspective in *El tunco* (1933, *The Hog*), in which barbarism is viewed as a genetic expression of Central American thirst for liberty. An extreme engagement with the theme of barbarism is found in *Pedro Arnáez* (1924), by Costa Rican José María Cañas, who argues that Central Americans are by nature barbarians addicted to violence.

In the first half of the twentieth century, the historical and existential dimensions of the role of the Indian in Central America were major concerns (see RACE). In a sentimental saga, *La india dormida* (1936, *The Sleeping Indian Girl*), Panamanian Julio B. Sosa uses the relationship between a conquistador and an Indian woman to make the

point that true love can overcome racial and cultural differences. In an entertaining historical novel also set in Panama, *Vasco Núñez de Balboa* (1934), Octavio Méndez Pereira highlights the indispensable part that Indian chiefs played in the discovery of the Pacific Ocean. History and legend fuse in *Isnaya* (1939), by Honduran Emilio Murillo, who turns Lempira, a celebrated *cacique* (Indian chieftain) who resisted the Conquistadors, into a forerunner of modern freedom-fighters. One of the most persuasive treatments of the problematic coexistence between the races is found in *Entre la piedra y la cruz* (1948, *Between the Stone and the Cross*), by Guatemalan Mario Monteforte Toledo, who probes the existential predicament of an Indian striving desperately to become a successful *ladino* (Hispanicized man) without betraying his Mayan heritage.

The Central American novel reached its apogee in Guatemala with Miguel Angel Asturias, who combined aesthetic quality with political commitment. His iconoclastic first novel, *El señor presidente* (1946, *The President*), is credited both with initiating the Latin American novel of DICTATORSHIP and anticipating MAGICAL REALISM. In a trilogy—*Viento fuerte* (1949, *Strong Wind*), *El papa verde* (1954, *The Green Pope*), and *Los ojos enterrados* (1960, *The Eyes of the Interred*)—Asturias took the anti-imperialist novel to a new level of sophistication. His crowning achievement was *Hombres de maíz* (1949, *Men of Maize*), an inspired re-creation of Mayan and Aztec history based on a variety of sources, ranging from sacred Amerindian texts, to the dialectical materialism of Marx and Engels, to the anthropological theories of Claude Lévi-Strauss (see MARXIST, ANTHROPOLOGY).

Elsewhere in Central America some of Asturias's contemporaries also experimented with the genre. Panamanian Rogelio Sinán and two Costa Ricans, Yolanda Oreamuno and Carmen Naranjo, wrote

existentialist novels characterized by polyphonic narratives, multiperspectivism, reader involvement, and psychoanalysis (see SURREALISM, PSYCHOANALYTIC).

TESTIMONY

In the second half of the twentieth century a nonfictional documentary genre known as *testimonio* (testimony) had a profound impact upon the evolution of the Central American novel. In some of the most famous *testimonios*, Salvadorean poet-revolutionary Roque Dalton, ex-Sandinista guerrilla Omar Cabezas, and Maya-Quiché activist Rigoberta Menchú bear witness to their personal involvement in larger collective struggles for liberation by employing such typical fictional stratagems as the imaginative re-creation of the past, selective MEMORY, flashbacks and flashforwards, irony, humor, truculence, and MELODRAMA. The spirit and techniques of *testimonio* gave rise to the testimonial novel, a narrative mode written from the point of view of the subaltern, usually a witness to, or a victim of, various forms of oppression (see NARRATIVE PERSPECTIVE).

An outstanding illustration of the testimonial novel is *Cenizas de Izalco* (1966, *Ashes of Izalco*), by Salvadorean-Nicaraguan Claribel Alegría, which utilizes multiple points of view and INTERTEXTUALITY to relate a series of interlocked personal lives to El Salvador's bloodstained history. Another Salvadorean, Manlio Argueta, has written a suite of novels, the most dramatic of which, *Un día en la vida* (1980, *One Day in the Life*), shuffles a sequence of alternating interior monologues and first-person testimonies to compress his country's history into one day in the life of a persecuted peasant woman. In Guatemala, two testimonial novels stand out: *El tiempo principia en Xibalbá* (1972, *Time Begins in Xibalbá*), by Luis de Lión, a

polyphonic tale full of magic and mischief set in an Indian village; and *Los compañeros* (1976, *Comrades*), by Marco Antonio Flores, a satirical exposé bursting with scabrous puns of the superficial idealism of would-be revolutionaries.

In Nicaragua, the testimonial novel has been dominated by two writers of exceptional quality: Sergio Ramírez and Gioconda Belli. In such novels as *Te dio miedo la sangre* (1977, *To Bury our Fathers*), and *Margarita, está linda la mar* (1999, *Margarita, How Beautiful the Sea*), Ramírez combines a former Sandinista's political experience with narrative dexterity. A growing disillusionment with Sandinismo, which he had been conveying metaphorically in his novels, is expressed openly and movingly in *Adiós muchachos: una memoria de la revolución Sandinista* (1999, *Farewell Friends: A Memoir of the Sandinista Revolution*). In *La mujer habitada* (1988, *The Inhabited Woman*), Belli breathes fresh air into the testimonial novel by simplifying its structure and employing a ludic, erotically charged, female perspective to link Nicaragua's pre-Hispanic heritage to the Sandinista revolution. Honduran-Salvadorean Horacio Castellanos Moya gives the testimonial novel a dramatic twist in *Insensatez* (2004, *Senselessness*), a febrile monologue by an alcoholic writer whose psyche disintegrates as he edits the chilling tales by indigenous victims of genocidal persecution in a Central American country which, although unnamed, may be readily identified with Guatemala.

RECENT EXPERIMENTS AND TRENDS

In response to the changing circumstances following the end of revolution and civil war in the 1990s, Central American novelists have been experimenting with diverse

narrative modes. The most popular trend has been the “New HISTORICAL Novel,” which provides revisionist interpretations of national histories. Salvadorean Mario Bencastro pioneered this kind of novel with *Disparo en La Catedral* (1990, *A Shot in the Cathedral*), a dramatic collage re-creating the assassination of Archbishop Oscar Arnulfo Romero on 24 March 1980, an event that ushered in twelve years of civil war. In *Asalto al paraíso* (1992, *Assault on Paradise*), Costa Rican Tatiana Lobo blends fact, fiction, and magic to recount an alternative story/history of the clash of civilizations between Spaniards and Indians in the first decade of the eighteenth century, while in *Madrugada: Rey del Albor* (1993, *King of Light*), Honduran Julio Escoto willfully alters dates and facts to fabricate a parodic version of his country’s history since the time of Columbus’s “discovery.” An impressive recent example of the reinvention of history is *Lobos al anochecer* (2006, *Wolves at Nightfall*), by Panamanian Gloria Guardia, which uses a meticulous investigation of the assassination in 1955 of President José Antonio Remón to demonstrate how political issues of national identity, hemispheric relations, and financial corruption can impinge on individual lives.

Another significant trend has been the examination of the endemic civil violence that has gripped Central America in the last two decades, with soldiers and guerrillas replaced by street gangs and gangsters, and bullets and bombs by drugs and money laundering. The paradigmatic novel of violence is *Managua, salsa city* (2000), by Guatemalan-Nicaraguan Franz Galich, which employs vigorous street slang to depict the city as a battle to the death between God and Satan. Guatemalan Rodrigo Rey Rosa’s *Que me maten si . . .* (1997, *Let them kill me if . . .*) and *Piedras encantadas* (2001, *Enchanted Stones*) are two finely crafted police thrillers exposing the extent to which violence has

corroded the heart and soul of society (see DETECTIVE). A closely related theme—personal disillusion with the failure of the new social order—is also evident in the post-revolutionary Central American novel, as conveyed in *El desencanto* (2000, *Disenchantment*), by Salvadorean Jacinta Escudos. Escudos’s *A-B-Sudario* (2003, *A-B-Shroud*) is also representative of a series of novels by women who use introspective techniques, such as interior monologues, stream of consciousness, diaries, and letters, to probe intimate aspects of female identity (see LIFE WRITING). In *La loca de Gandoca* (1993, *The Madwoman of Gandoca*), Costa Rican Anacristina Rossi provides an original take on the novel of female subjectivity by turning her heroine into the embodiment of her nation’s threatened rainforests, thus pioneering the Central American “eco-novel.”

Novels dealing with the Afro-Hispanic experience have also been gaining currency. In *Kimbo* (1990), Costa Rican Quince Duncan uses the Caribbean port city of Puerto Limón as the setting for a reconstruction of the identity of a protagonist who can trace his roots back to his great-grandparents in Jamaica, while in *Limón Blues* (2002), Rossi combines a vibrant mix of Spanish, English, and ancestral African languages to question the myth of a monolithic white heritage in Costa Rica. The most passionate Afro-Hispanic novelistic voice is undoubtedly that of Panama’s Cubena (pseud. of Carlos Guillermo Wilson). His saga, *Los nietos de Felicidad Dolores* (1991, *The Grandchildren of Felicidad Dolores*), blurs the boundaries between history and myth in order to express the pain of Mother Africa and her descendants in an alien world see MYTHOLOGY.

The Central American diaspora in the U.S. accounts for a new trend: novelists who write and publish in English. The outstanding representative is Francisco Goldman,

a Guatemalan American whose first three novels, *The Long Night of the White Chickens* (1992), *The Ordinary Seaman* (1998), and *The Divine Husband* (2004), weave together with impressive skill such diverse elements as history, melodrama, murder, mystery, intrigue, reportage, social criticism, and political denunciation.

For most of its history, the Central American novel has existed in the margins of the Western canon. However, owing to their overall quality and diversity the novels produced by the six republics deserve a wider readership both within and outside the region. The inclusion of titles by Central American novelists in university courses in North America and Europe, as well as the publication of articles on Central American literature in specialized journals and reference books, augur well for the future.

SEE ALSO: Class, Feminist Theory, Ideology.

BIBLIOGRAPHY

- Arias, A. (1998), *Gestos ceremoniales*.
- Arias, A. (2007), *Taking Their Word*.
- Arrellano, J.E. (2003), *Literatura centroamericana*.
- Barbas-Rhoden, L. (2003), *Writing Women in Central America*.
- Boland, R.C. and R. Roque Baldovinos, eds. (2001/2), *From War to Peace*, special issue, *Antípodas* 13–14.
- Boland Osegueda, R.C. (2005), “The Central American Novel,” in *Cambridge Companion to the Latin American Novel*, ed. E. Kristal.
- Collard, P. and R. De Maeseneer, eds. (2003), *Murales, figuras, fronteras*.
- Craft, L.J. (1997), *Novels of Testimony and Resistance from Central America*.
- Gallegos Valdés, L. (1987), *Panorama de la literatura Salvadoreña*.
- Kohut, K. and W. Mackenbach, eds. (2005), *Literaturas centroamericanas hoy*.
- Mackenbach, W. (2001), “La nueva novela histórica en Nicaragua y Centroamérica,” *ISTMO No. 1*, <http://collaborations.denison.edu/istmo/n01/articulos/novela.html>
- Menton, S. (1960), *Historia crítica de la novela guatemalteca*.
- Ramírez, S. (1969), *Narrativa centroamericana*.

Central Europe

JIŘÍ TRÁVNÍČEK

“Central Europe” is not a self-evident term. Indeed, it has represented a conceptual battlefield for nearly a century. The main period in which debates on Central Europe flourished was that of the 1980s. Milan Kundera, the Czech novelist living in France, was centrally responsible for this revival. In “The Tragedy of Central Europe” (1984, *New York Review of Books* 31:33–38) he argued that this part of Europe had been kidnapped from the West and taken to the East. In addition, he tried to draw geographical lines of this area as a culturally specific SPACE between Germany and Russia. The common denominator of what Central Europe is marked by could be called a unity of differences, i.e., a harmony of disharmonies, particularly—as Csaba G. Kiss stated—“an odd mixture of pain and nostalgia, negative sentiments, affection and hate, gibes and national injuries” (1989, “Central European Writers about Central Europe,” in *In Search of Central Europe*, ed. G. Schöpflin and N. Wood, 127). Czech, Slovak, Polish, and Hungarian novelists are an unquestionable part of Central European culture. However, some would stress that Central Europe also encompasses Austria (Vienna, as the capital of the Austro-Hungarian Empire, is a strong source of cultural and intellectual radiation, particularly at the turn of the nineteenth century), Slovenia, Croatia, the northern part of Italy (around Trieste), Bavaria, Serbia (Vojvodina), Romania (Transylvania and Bukovina), and the Ukraine (Galicia, Ruthenia).

BEGINNINGS AND NATIONAL REVIVAL

The historical-cultural situation at the turn of the eighteenth century is as follows: Czechs, Slovaks, Poles, and Hungarians do not have their autonomous states; their languages are underdeveloped, forced into the periphery (Czechs), or nonexistent in standard form (Slovaks). As far as prose is concerned, only such largely popular genres as short stories published in calendars, GOTHIC narratives, didactic writings with religious themes, and mock EPICS exist. Parallel to this, the bulk of narrative literature is written in verse. The novel has not yet been established as a separate GENRE with its own functions. Being neither a part of “high” nor of “low” literature, the novel does not manage to find its proper role. Despite these socio-aesthetic handicaps, some attempts to overcome this state, and thus to domesticate the novel within a specific NATIONAL framework, are made. With the exception of Czech literature, there are texts that could be considered the first novels within the given literature.

Influenced by Enlightenment ideas, György Bessenyei wrote the novel *Tariménes utazása* (1804, *The Travels of Tarimenes*). It is a partly satirical, partly moral work based on a journey, enabling concrete observations and proclaiming a universal moral in the vein of contemporary rationalism. The same plot is also used in *Mikołaja Doświadczyńskiego Przypadki* (1776, *The Adventures of Mr. Nikolas Wisdom*) by Ignacy Krasicki. The novel is filled with the protagonist’s travel experiences, combined with his satirical reasoning (see PARODY). In order to do this, the author presents the utopia of Nipru, an ideal state that enables him to criticize the contemporary Polish situation. Jozef Ignác Bajza’s *René mlád’enca príhodi a skúsenosti* (1784, *The Young René’s Adventures and Experiences*) is even more

representative of this period. The author, a clergyman who spent his whole life in dispute with the Church, attempts not only to write in the vein of Enlightenment rationality but also wants, by means of this work, to establish standard Slovak (he did not succeed). What all the works have in common is that they are written “from above,” i.e., by authors who are well educated and often in high positions (Krasicki was a duke and bishop).

REALISM AND THE TURN OF THE NINETEENTH CENTURY

REALISM serves as an emancipating device in Central Europe, especially for the novel. In addition, the second half of the nineteenth century is marked by a higher measure of urbanity and by a self-confident middle CLASS. As a result, the reading public is large enough to support the novel in its aspirations to play the role of the most important literary genre of the time.

The cases of Henryk Sienkiewicz and Alois Jirásek are telling. Both are authors of HISTORICAL trilogies, set in the most famous periods of Polish and Czech history. Sienkiewicz’s trilogy, consisting of *Ogniem i meczem* (1884, *With Fire and Sword*), *Potop* (1886, *The Deluge*), and *Pan Wołodyjowski* (1887–88, *Sir Michael/Fire in the Steppe*), deals with the seventeenth-century Polish wars against the Cossacks, Swedes, and Turks. The author combines typical realistic omniscient narration set against a wide panoramic canvas with a romantic conception of his characters, who are often real historical figures. They are depicted as almost immortal. When some of them actually happen to die, it is in battle and in a heroic way. Whereas Sienkiewicz offers colorful reminiscences of the most famous parts of Polish history, Jirásek tries to rewrite the early fifteenth century from the point of view

of Czech national concerns of the second half of the nineteenth century (1887–90, *Mezi proudy, Between the Currents*; 1893, *Proti všem, Against Everyone*; 1899–1908, *Bratrstvo, The Brethren*). His narration focuses on leading personalities of this period. Thus, Jan Hus (ca. 1370–1415) and Jan Žižka (ca. 1376–1424) are transformed from being a religious reformer and a military commander, respectively, into national leaders. The most impressive parts of Jirásek's novels are those depicting battles and broad historical panoramas. While skillful storytellers, both authors were strongly criticized for oversimplification, distortion of historical facts, and for the populist tendency of appealing to the audiences' nationalist sympathies.

Comparable to these authors in terms of popularity but different in terms of writing style, Mór Jókai is a leading figure of Hungarian realism. He also wrote a couple of colorful novels set in the sixteenth and seventeenth centuries, the period of the wars with the Turks. The more vivid and lasting part of Jókai's work, however, concentrates on the situation after 1848. His novels *Egy magyar nábob* (1854, *A Hungarian Nabob*) and *Kárpáthy Zoltán* (1853–55, *Zoltan Kárpáthy*) depict generational conflicts between father and son against the background of the national situation. This generation gap, showing the clash between old (egoistic) and new (enthusiastic), is vividly colored by a delicate humor and anecdotal style. In all four literatures there are many novels set in the contemporary village, depicting its slow social disintegration (Josef Holeček, Martin Kukučín, Władysław Stanisław Reymont).

While the turn of the nineteenth century is mainly dominated by poetry, there are some important developments in the form of the novel. The main trends are toward impressionism (Gyula Krúdy, Vilém Mrštík), experiments with changing points of view (Stefan

Žeromski, Karel Matěj Čapek-Chod; see NARRATIVE PERSPECTIVE), and PSYCHOLOGICAL approaches (Margit Kaffka, Zsigmond Móricz). This is also the Golden Age of the so-called Prague Circle, a group of writers of mostly Jewish origin who wrote in German (Max Brod, Franz Kafka, Gustav Meyrink).

FROM THE TURN OF THE CENTURY TO 1945

After 1918 Czechs and Slovaks (together), Hungarians, and Poles had their own autonomous states. In this new political environment literature ceased to be a vehicle for fulfilling patriotic tasks. As a result the novel enlarged its scope, adding a variety of themes, styles, and NARRATIVE TECHNIQUES. Almost everything that characterizes the novel as such has its Central European version: mainstream realism; experimental writing, balancing on the edge of fact and fiction; utopian and dystopic visions of the future (see SCIENCE FICTION); political engagement; mythological affinities (see MYTHOLOGY); subtle psychological introspection; blood-and-soil ruralism (see REGIONAL); and PHILOSOPHICAL reflections. The division between traditional and modern literature, which is so strongly felt in poetry, does not play as crucial role in the novel.

There are, however, several works and tendencies that may be seen as specific Central European contributions to the novel of this period. Jaroslav Hašek's *Osudy dobrého vojáka Švejka za světové války* (1921–23, *The Good Soldier Švejk and His Fortunes in the World War*) has reached a world audience and is now considered emblematic of the Central European mentality as a whole. Hašek managed to create a character who is able to master every situation. Švejk is forced to serve in a war machine and, at the same time, is able to destroy it. Authors of Slovak naturalism (Margita

Figuli, František Švantner) attempt to overcome the constraints of blood-and-soil ruralism by means of mythological patterns and balladic style. Epic order yields to lyrical contemplation, and thus the relationship between humans and nature is newly seen in an existentialist manner.

Karel Čapek's work often depicts visions of a totalitarian society in which human beings are no longer responsible for their deeds, as in *Válka s mloky* (1936, *War with the Newts*). His work shows the limits of human understanding, particularly regarding guilt, crime, and, more generally, human identity—the *Hordubal* trilogy, collected as *Three Novels* (1933, *Hordubal*); *Povětroň* (1934, *Meteor*); *Obyčejný život* (1935, *An Ordinary Life*). Čapek calls certainties into question and produces a sense of relativism; in a competition between high truths and small proficiencies, he favors the latter. Čapek was criticized for his “little-man” mentality, i.e., for an inability to expand his horizons. However, if there is a typical trait of Central Europe in this period, it is precisely this “inability.” The small town and its middle-class sensibility; a stable world which slowly loses its certainties; a sense of a soft-focus old-fashioned order of things; regularly provided rituals; colored stiffness—all of these become a topos and even a narrative pattern for a majority of writers whose significance is far from local: Karel Poláček, Bruno Schulz, Sándor Márai, Deszö Kosztolányi. These worlds are mostly depicted by combining nostalgia with irony, and empathy with criticism.

AFTER 1945

After a short period of “phony peace” (1945–48), communists directed from the Soviet Union took power and started to execute their cultural politics. As far as the

results are concerned, literature in all three countries was split into three currents: officially published works, works written in exile (many authors were forced to leave their countries), and unofficially published works (*samizdat*). In the early 1950s, the novel was considered a privileged genre because it could be used as a direct means of ideological influence (see IDEOLOGY). What arises is a new form of the novel à thèse, established from above (ideologically) and directed not only in its themes (socialist construction, factories, fighting outmoded practices, cooperative agriculture), but also in its plotting (good guys against bad guys). This highly artificial attempt, called Socialist Realism, finished quickly without leaving noteworthy works (see Russia, 20th C.).

The 1960s are not only a period of literary emancipation but also the Golden Age of the novel. The most emblematic tendencies for the development of the postwar novel within this region may be the work of Milan Kundera. He only managed to publish one novel in his pre-exile period (before 1975), *Žert* (1967, *The Joke*), which deals with the 1950s Stalinist period and establishes Kundera's key themes—human beings confronted with history, a game destroying its own creator—and narrative techniques, a characteristic combination of Diderotian playfulness with essayistic approaches. The most well-known of his novels is *Nesnesitelná lehkost bytí* (1985, *The Unbearable Lightness of Being*), which thematizes exile as the inability to communicate Eastern experience to Western audiences. This exile experience plays a crucial role for many novelists from this part of Europe: Jerzy Kosiński (who wrote in English), Josef Škvorecký, Sándor Márai, Gustav Herling-Grudziński, and others.

Life under socialism is frequently taken up in the Central European novel. György Konrád examines everyday life in Budapest

when confronted with omnipresent ideological oppression, especially in *A cinkos* (1982, *The Loser*). The main achievement of Konrad's novel lies in the relativization of what is real and what is absurd, what is sane and what is a mental disease (see **SURREALISM**). Tadeusz Konwicki won international acclaim for his novel *Kompleks polski* (1977, *The Polish Complex*). This novel is a mixture of concrete and symbolic meanings, creating an atmosphere of absurdity. Absurdity seems to be a common denominator for other Central European novelists: Rudolf Sloboda, for example, writes as if he does not know what will come next. Bohumil Hrabal's absurdity oscillates between melancholy and existential cruelty. Following Hašek's example, he focuses on free speech as a medium enabling an endless number of combinations. The Holocaust, or *Sho'ah*, is another major topic of this period, especially in the 1960s. Novels on this topic are written mostly (but not only) by survivors (Henryk Grynberg, Imre Kertész, Jerzy Kosinski, Arnošt Lustig, Jiří Weil), and alternate between written record and psychological introspection, description, and elaborated narration.

After 1989, three formerly separate currents again become one. Novelists must react to the new challenges of the market economy as well as to the immense number of books flooding the market. Some trends seem to show their post-communist significance: filling the so-called white places in history (Stefan Chwin), attacking an area between popular and serious fiction (Michal Viewegh), postmodern playfulness (Tomáš Horváth, Péter Esterházy), expressive brutality (Dorota Masłowska, Peter Pišt'anek, Jáchym Topol), mixing fiction with reality (Jan Novák), and dissolving into the cosmopolitan "Euro-style" (Olga Tokarczuk).

SEE ALSO: Censorship, Magical Realism, Metafiction, Romance.

BIBLIOGRAPHY

- Cornis-Pope, M. and J. Neubauer, eds. (2004), *History of the Literary Cultures of East-Central Europe*, vol. 2.
- Fried, I. (1997), *East-Central European Literary Studies*.
- Holý J., ed. (2007), *Holokaust v české, slovenské a polské literatuře*.
- Konstantinovic, Z. and F. Rinner (2003), *Eine Literaturgeschichte Mitteleuropas*.
- Miłosz, Cz. (1983), *History of Polish Literature*, 2nd rev. ed.
- Siekierski, S. (2000), *Czytania Polaków w XX wieku*.
- Števec, J. (1989), *Dejiny slovenského románu*.
- Thomas, A. (1995), *Labyrinth of the Word*.
- Tötösy de Zepetnek, S., ed. (2002), *Comparative Central European Culture*.
- Wachtel, A.B. (2006), *Remaining Relevant after Communism*.

Champu see Ancient Narratives of South Asia

Character

JOHN FROW

Fictional character takes many forms. We recognize Brer Rabbit or Reynard the Fox, the goddess Hera or Thomas the Tank Engine as quasi-persons, figures that move us in the way that only stories about a recognizably human destiny can move us. To "recognize" means both that we find a frame for understanding what kind of being this is, and that we see ourselves in these figures—"ourselves" only in the most general, anthropomorphic sense that we translate animals or gods or steam trains into human-like figures which will fit into our stories—and on that basis we project something more specific onto them, and draw something more specific from them. We like them or dislike them, identify with them or disapprove of them. We distinguish the white hats from the black hats, and we get emotionally involved with them.

The conditions for being a character are minimal because we have the capacity to turn just about anything into a quasi-person. Usually a character has a name; it speaks; and it performs an action or a series of actions, on the basis of which we impute intentionality to it. But even these minimal conditions need not all be met. The transmigratory soul in David Mitchell's *Ghostwritten* (1999) has no name; Bertha Mason, the madwoman in Charlotte Brontë's *Jane Eyre* (1847), never speaks; an anonymous, featureless Samuel Beckett character neck-deep in mud or garbage performs no action other than talking. What counts is less what they are than what we do with them: the historically, culturally, and generically various ways in which the reader or spectator or listener endows them with significance.

HUMANIST THEORIES OF CHARACTER

Because the shape we give the raw materials of character is always a human shape, the easiest way of understanding character is as a displaced form of human being. This involves attributing unity, coherence, and psychological depth to the figures in a story and treating them as though they were separable from the texts which form them. Such a procedure has been heavily influenced by the literary techniques that work hardest at producing the illusion of setting in motion "real" human beings, and particularly by the techniques of the European novel from the eighteenth century onward.

A well-known image shows Charles Dickens daydreaming at his desk while his fictional creations float around him (see fig. 1). They have taken on a life of their own, becoming free to attract us or repel us regardless of their thematic function in the novels. The image exemplifies a widespread

practice of reading; many of Dickens's readers wrote to implore him not to allow Little Nell to die, understanding her at once as a fictional construct and as a person to whom they were deeply attached. One of the great exponents of this way of reading is the Shakespearean critic A. C. Bradley, who reads the plays as psychological dramas and abstracts characters from texts to the extent that he can devote a long footnote to the question of whether Hamlet is too old to have been at University at Wittenberg at the time of his father's death: to examine this question as a matter of biographical fact, that is, rather than as matter of plot (403–9). Bradley's reading of Hamlet is concerned with what for him is the central question: that of explaining the motives for the hero's behavior and doing so in a way that makes it psychologically coherent and plausible.

Character in this sense is a resource for moral analysis and is closely tied to literary pedagogies in which the analysis of ethical issues and dilemmas relating to literary characters—"what was the fatal flaw in Hamlet's character?"—forms the basis of an institutionalized practice for constructing "moral selves or good personal character" (Hunter, 233). The moral selves of fictional characters reflect and help shape our own. The theoretical challenge to which this humanist understanding of literary character responds is that of being able to explain with a single set of terms both the constitution of "real" moral subjects and the effects of unity which underpin literary character. The price paid for the continuity it posits between character and person is that both must be thought in terms of presence—of "real" personhood—rather than in terms of representation. Whatever the merits of this understanding and of the pedagogies that flow from it and support it (and it is arguable that uses of character are always bound up with practices of emulation), they work much



Figure 1 “Dickens’s Dream,” unfinished painting by R. W. Buss (1804–75) also known as “A Souvenir of Dickens,” 1875. Used with the permission of the Charles Dickens Museum

better for the realist novel than for other kinds of text (see *REALISM*), and they offer little purchase for analyzing the textual and cultural conventions by which characters are constructed.

Although this ethical and humanist mode of criticism is still the dominant way of understanding character, both in literary criticism and in popular understandings, it has been extensively challenged. An influential essay by the British critic L. C. Knights, “How Many Children Had Lady Macbeth?” with its admonition that “in the mass of Shakespeare criticism there is not a hint that ‘character’ . . . is merely an abstraction from the total response in the mind of the reader or spectator, brought into being by written or spoken words; that the critic there-

fore—however far he may ultimately range—begins with the words of which a play is composed” (4), makes an important argument against the detextualization of character. This tradition in New Critical theory, which builds on an Aristotelian conception of character as a structural dimension of plot, works as a kind of bridge to structuralist accounts of character as a conventional construct, a textual effect rather than a quasi-real person.

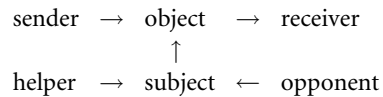
STRUCTURALIST THEORIES OF CHARACTER

We could perhaps date the structuralist approach to character to the work of

Vladimir Propp, who studied a corpus very different from that of the novel (see STRUCTURALISM). His *Morphology of the Folktale*, published in 1928, analyzed the basic elements of folkloric narrative into thirty-one functions (generalized forms of action such as interdiction, interrogation, or flight, considered in abstraction from the characters who perform them) and seven basic character types: the hero; the villain; the donor, who prepares the hero for his quest; the helper, who assists the hero; the princess and her father (the two are structurally merged) who set the hero on his quest and reward him with marriage when it is completed; the dispatcher, who sends the hero on his way; and the false hero or usurper. Propp's argument, influenced by linguistic theory, where grammatical categories work as empty slots that are filled with particular content, is that the multiplicity of characters appearing in folk tales can be reduced to this underlying typology (not all of the elements of which will necessarily be present, and some of which may be merged; see LINGUISTICS). As Mieke Bal puts it, "an actor is a structural position, while a character is a complex semantic unit. But as readers, we 'see' characters, only reducible to actors in a process of abstraction" (115). Although Propp's typology is by definition reductive and thus does not attempt to do justice to the texture, tone, and particularity of the tales he analyzes, the power of this reading lies in its capacity to isolate general patterns in narrative: to move beyond the particularities of a text to the abstract formal structures composing it.

Following Propp, writers such as Algirdas Julien Greimas, Roland Barthes, and Tzvetan Todorov seek to construct a grammar of narrative which will specify a typology of roles from which characters are generated. Greimas influentially proposed the concept of the *actant*: the slot or

character-class defined by a permanent group of functions and qualities and by their distribution through a narrative; the term (later taken up by social scientists like Bruno Latour) carefully does not distinguish between human and nonhuman actors. Greimas's schema is derived from Propp's and posits the following general narrative logic (180):



In its focus on a logic of actions, however, this unpromisingly general schema lacks the universality it claims, and like Propp's it neglects all of those thematic and structural functions performed by narrative agents that are not simply acts.

A fuller and more interestingly synthetic account of fictional character is to be found in Philippe Hamon. Hamon's starting point is an argument against the confusion of *personne* (person) with *personnage* (character), and against the neglect of the verbal conditions of existence for character; this neglect is the reason why a banal psychologism is to be found even in otherwise sophisticated analyses. Insofar as character "is as much the reader's reconstruction as a textual construct" (119), Hamon proposes that the object of analysis should be the "textual character-effect" (120). The model he proposes is that of the relation of the phoneme to its distinctive features, in terms of which character is conceived as "a *bundle of relations* of similarity, opposition, hierarchy and disposition (its distribution) which it enters into, on the plane of the signifier and the signified, successively and/or simultaneously, with other characters and elements of the work" (125). The signified of character, its "value," is constituted not only by repetition, accumulation, and transformation,

but also by its oppositional relation to other characters (128).

This definition—purely formal as it is—sets up the possibility of establishing a calculus of the features, the “characteristics” that represent the basic components of character. To this end Hamon constructs a number of tables which yield a differential analysis of qualities, functions, and modes of determination of character. Let me paraphrase his summary. A character can be defined:

- by the way it relates to the functions it fulfills;
- by its simple or complex integration in classes of character-types, or *actants*;
- as an *actant*, by the way it relates to other *actants* within well-defined types of sequences and figures (e.g., “quest” or “contract”);
- by its relation to a series of modalities (“wanting,” “knowing,” “being able to”);
- by its distribution within the whole narrative; and
- by the bundle of qualities and thematic “roles” which it supports.

The theoretical consequence of this definition is that, insofar as character is “a recurrent element, a permanent support of distinctive features and narrative transformations, it combines both the factors which are indispensable to the *coherence* and *readability* of any text, and the factors which are indispensable to its stylistic *interest*” (141–42). This then leads to a final definition of character: as “a system of rule-governed equivalences intended to ensure the readability of the text” (144).

Yet in practice the theory does not account for the reader’s interest and desire as they operate to establish characters as quasi-persons; it fails to explain the affective force of the imaginary unities of character. Jonathan Culler makes a similar criticism:

that structuralist theorists view the usual primacy given to character as an ideological prejudice, rather than trying to *account* for it (230). I want therefore to turn to the question of how character works to construct the “interest” of a story, its affective hold; this is the question of the relation between the construction of character and the construction of the reader as a reading subject.

CHARACTER AND THE READER

Here the key concept is that of identification, the importance of which lies in its ability to mediate between character as a formal textual structure and the reader’s structured investment in it. In Sigmund Freud’s work, where the concept has most rigorously been analyzed, the concepts of identification and narcissism are closely linked, and I want briefly to investigate the relation between them (see *PSYCHOANALYTIC*). Narcissism is one of Freud’s major explanatory categories, and he takes it to constitute the real basis of every object-choice: in every choice of a love-object “the libidinal energy is always borrowed from the ego, and always ready to return to it” (77). What is innovative in Freud’s thought is not the postulation of a love of self, which in itself is a commonplace, but the fact that this is understood as occurring through the taking of the ego as a possible love-object, and the fact that the actual positions of subject and object may be less important than the fantasized positions (which may indeed both be internal to the ego).

Let me give an example taken from Freud’s discussion of melancholia. In analyzing this neurosis Freud comes to the conclusion that the self-reproaches characteristic of melancholia are really “reproaches against a loved object which have been shifted away from it on to the patient’s own

ego" (1953, 14:248). This situation arises because of a withdrawal of libido from the lost object; however, the emotional energy is not then transferred to another object but rather is withdrawn into the ego, causing a splitting of the ego such that one part identifies itself with the abandoned object and is in turn judged and condemned by another part (249). It is to this dispersal of ego-identifications that I wish to liken the workings of fictional character. The "recognition" or "identification" of character would involve a mirroring of the semantic and libidinal processes of self-construction in an imaginary construction of "other," quasi-unified selves.

This process of narcissistic dissemination of self-recognition, which I take to be the basis of all historically specific regimes of identification, is said by Freud to be characteristic of the language of dreams. The passage is worth quoting at length:

It is my experience, and one to which I have found no exception, that every dream deals with the dreamer himself. Dreams are completely egoistic. Whenever my ego does not appear in the content of the dream, but only some extraneous person, I may safely assume that my own ego lies concealed, by identification, behind this other person; I can insert my ego into the context. On other occasions, when my own ego does appear in the dream, the situation in which it occurs may teach me that some other person lies concealed, by identification, behind my ego. In that case the dream should warn me to transfer on to myself, when I am interpreting the dream, the concealed common element attached to this other person. There are also dreams in which my ego appears along with other people, who, when the identification is resolved, are revealed once again as my ego. . . . Thus my ego may be represented in a dream several times over, now directly and now through identification with extraneous persons. (1953, 4:322–23)

Freud's work is rich in examples of such shape-shifting—think also of the analysis of the changing subject positions in "A Child is Being Beaten," where the title sentence is transformed back through "my father is beating the child" and "my father is beating the child whom I hate" to "I am being beaten by my father" (17:179)—and I want to suggest that the play of dispersed identifications Freud uncovers can be mapped onto an account of the play of positions in discourse. What I mean by this is the way readers occupy (and thus "identify" with) distinct "voices" in the play of language, putting themselves in the place of the speaker of the text they are reading, and of the figured personages which both speak and are spoken about. Reading Joseph Conrad's *Heart of Darkness* (1902), I take on Marlow's perceptions and concerns (however far they might be from my own), even to the extent of thinking within the rhythms of his syntax; I place myself inside Kurtz's head (however concealed it is behind layers of rumor); I learn to loathe the administrators who thrive on the misery of the African laborers; and some part of me stands critically beyond Marlow's guiding of my judgment, making him in turn an object as well as a subject of understanding, assessing the limits of his sense of himself and the values he espouses, and placing him in the larger context of a shaped literary work.

Alex Woloch suggests that what he calls the "character system" of a novel, which regulates the relation between protagonists and "minor" characters, mirrors this process of scattering *within* the text as the minor characters work to develop different aspects of the protagonist by functioning as "foils, displacements, projections, and doubles" (127). Thus we could think of a text as involving multiple levels of projection and recognition through which the reader is bound into the text by working through his or her relation to characters that form part

of an interwoven system of constantly shifting affective processes.

At the heart of the character system is the distinction between those who are subjects in their own right, with whom we identify, and those who are the objects of our perception. *Heart of Darkness* gives me no space to identify, except in the most general sense, with those nameless shapes of black men dying in a station in the Belgian Congo; whatever anger, disgust, or outrage we may feel is felt from Marlow's perspective, not theirs, since in the novel they have none. Although, as Woloch details, minor characters always have the potential to become full subjects—in Honoré de Balzac's *Comédie humaine* (1842–48, *The Human Comedy*) a minor character in one novel will become the center of another—and although we may react against authorial guidance to sympathize with an unsympathetic character (a Uriah Heep, for example, so clearly and essentially hateful that we may perversely take his side), it is only those characters whom we take to be fully subjects in whom we can “recognize” some dimension of ourselves.

CHARACTER AND TYPE

The question of the affective binding-in of readers to texts is, however, inseparable from that of the historically shifting regimes that govern our identification with or against fictional characters: learning how to read character is directly bound up with the practice of the self, of recognition of other selves, and of forming an emotional bond with fictional “selves,” and these practices work in distinctively different ways in different GENRES and in different historical and cultural formations.

A description of character as an effect of historically specific operations of reading would analyze how forms of literary

character have drawn upon and fed back into folk psychologies and typologies such as the doctrine of humors, of the ruling passion, or of the racial or psychological or historical “type,” and the stock characters of the Greek New Comedy or European commedia dell'arte or Javanese Wayang theater. One form of this theory is supplied by a historicist aesthetics. In the work of Georg LUKÁCS, a neo-Hegelian conception of the literary type is related to the development of the commodity form and of reification, such that characters can be said to “correspond” or not to the particular state of development of the historical process. But this kind of generalization from particular to type has become more generally embedded in our reading of the “realist” novel, where both moral and social characteristics tend to be raised to a higher power: Lord Dedlock “stands for” the values of a near-obsolete aristocracy; Jay Gatsby is the type of the *nouveau-riche*.

In a very different sense of the “type,” Erich Auerbach discusses the concept of *figura*, a patristic and medieval rhetorical device whereby an event or character is said to have been prefigured by an earlier event or character, and in turn to be their fulfillment, and both ultimately foreshadow “something in the future, something still to come, which will be the actual, real, and definitive event” (58). Thus Dante's figural reading of Cato in the *Purgatorio* assimilates him to the Christian tradition on the basis of “a predetermined concordance between the Christian story of salvation and the Roman secular monarchy” (66), because “for Dante the meaning of every life has its place in the providential history of the world” (70).

Northrop Frye's fivefold classification of fiction in terms of the hero's power of action (33) seeks to give a comprehensive account of such historical typologies (see MYTHOLOGY). Frye's descending scale is, roughly, a

classification by rank and power, and he argues that in European literature the center of gravity has shifted progressively down the scale from a mythic mode to ROMANCE, the high mimetic, the low mimetic, and the ironic; but this is true only in the most sweeping perspective, and it is unclear how far this corresponds to real social history, or indeed whether it is intended as a historical or as a structural description.

This model has been reworked by Hans Robert Jauss in terms of a scale of norms of reception which reflect historically distinct (but overlapping) regimes of identification. The classification of “interactional patterns of aesthetic identification with the hero” (298) is again fivefold, and it ranges between the extremes of cultic participation and aesthetic reflection. The first level, that of “associative identification,” is structured upon the interactions of the game or ceremony. It is realized in religious cults and in various forms of literary game-playing. The second level, that of “admiring identification,” puts into play the category of the exemplary and various techniques of emulation, such as those by which the collective memory of the Christian Middle Ages or of the Communist state is constituted. The third level, “sympathetic identification,” corresponds to Frye’s low-mimetic mode. It relies on the category of pity, and it works through either moral interest or sentimentality. It is realized in such bourgeois genres as the eighteenth-century DOMESTIC novel and domestic drama. The fourth level is that of “cathartic identification,” and it is said to “place the spectator in the position of the suffering or hard-pressed hero in order, by means of tragic emotional upheaval or comic release, to bring about for him an inner liberation which is supposed to facilitate the free use of his judgement rather than the adoption of specific patterns of activity” (297). Cathartic identification corresponds to the patterns of

classical French tragedy and COMEDY. The fifth level, that of “ironic identification,” is roughly equivalent to Bertolt Brecht’s conception of the alienation-effect, but it is here polemically subsumed within the category of “identification” itself, and its privileged examples are Miguel de Cervantes Saavedra’s *Don Quixote* (1605, 1615), Charles Baudelaire’s *Les Fleurs du Mal* (1857, *The Flowers of Evil*), and in general the poetics of MODERNISM. Jauss’s account is flawed, however, by his privileging of one mode of identification, catharsis, in a move that displaces historical categories into a quasi-universal norm of reception.

Frye and Jauss are concerned less with objective typologies than with historically different ways of dealing with characters—although of course these shifting forms of aesthetic identification will in turn tend to favor certain forms of character construction. A more detailed and historically specific investigation of changing forms of involvement with characters is to be found in Deirdre Lynch’s account of the transition from a neoclassical to a romantic regime of characterization. Pitching her argument against histories of the novel in which the genre moves from the “flat” and formulaic characters of Daniel Defoe or Henry Fielding to achieve its full realization in the “round,” psychologically complex characters of Jane Austen, Lynch posits instead that what is at stake is the transition from one set of material, rhetorical, and affective practices to another (see HISTORY). Charting a set of changing practices of self-cultivation, of shopping, of fashion, of character “appreciation” and many others, she posits that “with the beginnings of the late eighteenth century’s ‘affective revolution’ and the advent of new linkages between novel reading, moral training, and self-culture, character reading was reinvented as an occasion when readers found themselves

and plumbed their own interior resources of sensibility by plumbing characters' hidden depths" (10). In Tobias Smollett, for example, we can see a gradual shift from viewing the protagonist as an empty position to seeing him as an object of identification, so that we come to be involved with "a being that, through its capacity to prepossess, can train the reader in sympathizing and so in participating in a social world that was being reconceived as a transactional space, as a space that held together through the circulation of fellow feeling" (89).

CHARACTER AND PERSON

This shift in part reflects (and in part helps to form) that larger movement in the late eighteenth century in which the grounding of personal identity in "an essential core of selfhood characterized by psychological depth, or interiority" (Wahrman, xi) becomes dominant, in which childhood takes on a new status as the foundation of "the unique, ingrained, enduring inner self" (282), and in which an organic model of the realization of an essential selfhood displaces an older model in which the self is less an essence than a set of publicly appropriate roles. This new understanding breaks radically with older presuppositions. As Charles Taylor puts it:

We have come to think that we "have" selves as we have heads. But the very idea that we have or are "a self," that human agency is essentially defined as "the self," is a linguistic reflection of our modern understanding and the radical reflexivity it involves. Being deeply embedded in this understanding, we cannot but reach for this language; but it was not always so. (177)

While character in the novel is not reducible to forms of social selfhood, since it is produced by means of specifically literary

conventions of representation, it is nevertheless closely bound up with the transformations of selfhood since the 1700s. This is less a matter of reflection of a preexisting reality than of the way the reading of character actively helps shape readers' sense of what it might mean to be a person. In this sense reading character is what Michel Foucault calls a technology of the self: a machine for modeling behavior, an exercise in self-cultivation through a recognition of and identification with other (represented) selves. Reading novels has for much of the time since the 1700s been a matter of learning to become a self within the regime of expressive interiority of which the novel has been so crucial a support.

BIBLIOGRAPHY

- Auerbach, E. (1998), "Figura," in *Scenes from the Drama of European Literature*.
- Bal, M. (1997), *Narratology*.
- Bradley, A.C. (1905), *Shakespearean Tragedy*, 2nd ed.
- Culler, J. (1975), *Structuralist Poetics*.
- Foucault, M. (1988), "Technologies of the Self," in *Technologies of the Self*, ed. L.H. Martin, H. Gutman, and P.H. Hutton.
- Freud, S. (1953), *Standard Edition of the Complete Psychological Works*, ed. J. Strachey, et al.
- Frye, N. (1957), *Anatomy of Criticism*.
- Greimas, A.J. (1966), "Réflexions sur les modèles actantiels," in *Sémantique structurale*.
- Hamon, P. (1977), "Pour un statut sémiologique du personnage," in R. Barthes, W. Kayser, W. Booth, et al., *Poétique du récit*.
- Hunter, I. (1983), "Reading Character," *Southern Review* 16:226–43.
- Jauss, H.R. (1974), "Levels of Identification of Hero and Audience," *New Literary History* 5:283–317.
- Knights, L.C. (1951), "How Many Children Had Lady Macbeth?" in *Explorations*.
- Laplanche, J. (1976), *Life and Death in Psychoanalysis*, trans. J. Mehlman.
- Lukács, G. (1962), *Historical Novel*, trans. H. and S. Mitchell.
- Lynch, D. (1998), *Economy of Character*.

- Propp, V. (1968), *Morphology of the Folktale*, trans. L. Scott.
- Taylor, C. (1989), *Sources of the Self*.
- Wahrman, D. (2004), *Making of the Modern Self*.
- Woloch, A. (2003), *The One vs. the Many*.

Character Narrator *see* Narrator

China

YIYAN WANG

Like the novel in many other cultural traditions, the Chinese novel has humble origins and a long history of evolution. Its current name, *changpian xiaoshuo*, has two components: *changpian* means long, full-length, and *xiaoshuo* is the term for fiction, which, if taken literally, means small talk. Hence, short stories are *duanpian xiaoshuo* (short-length stories) and novellas are *zhongpian xiaoshuo* (medium-length stories). Alternatively, both *changpian* and *xiaoshuo* can also be a shorthand expression for the full-length novel. An earlier name for the novel is *zhanghui xiaoshuo*, with the word *zhanghui* meaning chapters, emphasizing the regular structure of chapters that typically center on the plot to entice the reader to continue.

The word *xiaoshuo* originally referred to writings in both the classical Chinese language and the vernacular that describe fantastic events, manifestations of the supernatural, or any extraordinary events or experiences. The names of those GENRES that can be grouped in what we now regard as fiction clearly indicate their content and subject matter: *zhiguai* (records of the strange), *huaben* (collections of stories), *chuanqi* (tales of the wondrous), *gongan* (detective stories), the relatively short pieces of anecdotes or reflections known as *biji* (jottings), and other genres. All of them had one thing in common, generally speaking:

they were not concerned with statecraft, philosophy, personal aspirations, or expressions of the inner complexities of the authors, and were not highly regarded, although philosophical and historical writings are also intricately connected with the development of fiction from subject matter to narrative traditions. In the Chinese literary hierarchy, fiction did not enjoy the same status as poetry and essays until the twentieth century, when it came to occupy the center stage of the literary scene.

Since the late nineteenth century, Chinese novels have been categorized according to their subject matter. If the novel deals with love and relationships, it is *yanqing xiaoshuo* (a novel of emotional matters); if the narrative is erotic, it is *seqing xiaoshuo* (a novel of sex and seduction); if it deals with social phenomena or customs, it is *shiqing xiaoshuo* (a novel of social mores); if it condemns social evil or injustice, it is *qianze xiaoshuo* (a novel of indictment); if it mocks social establishments and human weaknesses, it is *fengci xiaoshuo* (a novel of satire) and if the novel's events are based on HISTORICAL events, it is *lishi xiaoshuo* (a novel of history).

The novel's humble origins have significant implications for its authorship and readership. Before Western prototypes and forms were introduced in the nineteenth century, the Chinese novel was largely for popular entertainment and was often appreciated and consumed in a public space. Although short stories as well as nonfiction written in the classical language intended for the educated elite were part of the ancestry of the Chinese novel, many more novels in premodern times were written in the vernacular for a general readership. Also, readers might not necessarily "read" but enjoyed an oral rendition of the novel in public places such as teahouses or markets. This oral element of the Chinese novel has also led to authors not only imitating the oral

style but also retaining the plot-driven chapter-based structure, although the novel could be composed primarily for reading in private. Even today *shuoshu ren* (“book talkers”), who read, or rather enact novels for an audience, still exist. However, it is also this connection to popular culture that kept the novel from reaching its current prestigious status until drastic social and cultural changes started to take place in the twentieth century. This traditional association of fiction with popular entertainment played an important role in shaping Chinese cultural traditions and the effects are still palpable today, although the media and the venues where the novel is now delivered to its audience have changed considerably. Fiction on the whole gained primacy in the literary hierarchy from the 1900s, and by the 1930s the novel’s status as an important and respectable genre was firmly established. Since the latter half of the twentieth century, the novel has been the major genre of Chinese literary output. Each year on the Chinese mainland alone, more than one thousand titles are published. The novel remains the primary source for China’s film and television scripts.

THE CLASSICAL NOVEL

If we accept that length and scope are two definitive criteria for a narrative to be considered a novel, the Chinese novel started to take shape from the fourteenth century, with the best known being produced between the fifteenth and eighteenth centuries. More often than not, the creation, or the “rewriting” of a novel was a dynamic and interactive process with multiple editions as a result of contributions from different authors, readers, and critics. The *Sanguo yanyi* (1522, *Romance of the Three Kingdoms*), *Xiyou ji* (1592, *Journey to the West*), *Shuihu zhuan* (1614, *Water Margin*)

and *Honglou meng* (1754, *Dream of the Red Chamber*) are the four most-loved classical novels. Some would add another two: the *Jin Ping Mei* (1617?, *Plum in the Golden Vase*) and *Rulin waishi* (1768–69, *Scholars*).

The *Sanguo yanyi* first appeared in the sixteenth century as a grand narrative, elaborating on the HISTORICAL events in the last years of the Eastern Han period (roughly 200 CE) and the personal lives of the major historical figures involved. However, it is the shortened 120-chapter edition of 1522 that remains the most popular. Representation of the major characters, who were also major historical figures, departs considerably from those found in the history book dealing with the same era entitled *Sanguozhi* (*Records of the Three Kingdoms*), which was composed between the third and fourth centuries.

The *Shuihu zhuan* is also closely associated with history, but the characters in the novel are mythologized and therefore much larger than their historical prototypes active around the twelfth century during the Song Dynasty. The book tells the story of the bandit-rebel Song Jiang and his followers in praise of their mateship, courage, loyalty, and righteousness during their guerrilla war against the authorities. Its characters and plots frequently reappear in other novels, operas, and performance media of all sorts.

The *Jinpingmei* takes the story of Wu Song, a major character from the *Shuihu zhuan*, as its starting point. Wu Song kills his adulterous sister-in-law Pan Jinlian and her lover Ximen Qing to avenge their murder of his brother. Pan and Ximen are subsequently the major characters in the *Jinpingmei*, which was written in the late sixteenth century and circulated to a wide readership in the seventeenth century when a block-printed edition became available (see PAPER AND PRINT). The *Jinpingmei* was an important point of departure in Chinese narrative history, for it was the first single-authored novel portraying the DOMESTIC lives of a

household in an urban environment. It was also the best-known Chinese novel with explicit depictions of sexual behavior, but for this reason, the *Jinpingmei* was not considered serious literature until recently. *Scholars* is an incisive social satire and has been popular since it appeared in the eighteenth century. Its episodes ridiculing the participants in the imperial civil service examination are still widely read and alluded to today.

The *Xiyou ji* emerged from tales about the Tang Buddhist monk Xuanzang (602–64) and his travels to India to bring back Buddhist scripture: thus began the tradition of adventure travel in the Chinese novel. The helpless monk encounters demons, spirits, aliens, and monsters on his way but is always saved by his disciples, Monkey, Piggy and Sandy, who on occasions also need the help from the more powerful. The monk's narrow escapes make for gripping and fascinating stories of foolhardiness, loyalty, and courage. With his extraordinary skills in martial arts, his magic powers, and cheeky personality, Monkey stands out as a most enchanting character not only in this novel but also in Chinese literary history.

The *Honglou meng* (*Story of the Stone*, also known as *Dream of the Red Chamber* and *Dream of Red Mansions*), is commonly acknowledged as the best-loved and best-written novel in Chinese literary history. The work charts the decline of two branches of a large, aristocratic family. The protagonist is a young boy called Precious Jade (*Baoyu*), born with a piece of jade in his mouth that connects his current life with his previous incarnation. The narrative follows his daily life with his girl cousins, girl friends, and female servants in the Grand View Garden, where the gender-segregation code called for in elite households is violated. Precious Jade becomes totally disillusioned as he witnesses the tragic fate of the young girls around him in addition to his own unrequited love. The scope, complex-

ity, elegance, and technical skill conveyed in the narrative are considered supreme examples of the Chinese narrative tradition. The *Hongxue* ("Redology"), a field of specialized study devoted to this novel, has attracted the attention of hundreds of scholars all over the world, and yet many questions remain unanswered. For instance, there is no conclusive proof that the entire book of 120 chapters was completed by Cao Xueqin and no one is sure whether the manuscript of the last forty chapters was lost, or whether he did not finish writing it at all. Most scholars agree that the last forty chapters in the most popular edition of the book were contributed by Gao E.

LITERARY MODERNITY AND THE ASCENDANCY OF THE MODERN NOVEL

Novels with indigenous narrative features continued to evolve, and many authors also started to express their concerns for social issues through the format of the novel. In the last decades of the nineteenth century and the first two decades of the twentieth century, such novels boomed. The most influential include the *Lao Can youji* (1907, *Travels of Lao Can*), *Ershinian mudu zhi guaixianzhuang* (*Strange Phenomena Observed during the Last Twenty Years*, serialized 1903–5; first ed. 1906–10), and *Henhai* (1906, *The Sea of Regret*) by Wu Jianren, the *Guanchang xianxingji* (1903?) by Li Baojia, and the *Niehai hua* (1905, *A Flower in the Sea of Sins*) by Zeng Pu.

With the rapid development of the printing industry and the increased circulation of newspapers and magazines which published novels in serial form, popular novels began to reach large audiences. When Shanghai became the publishing hub of China in the second decade of the twentieth century, it was possible to become a professional writer

and make a living out of it. Apart from the popular bittersweet love stories, there were also detective fiction, chivalric fiction, and other popular genres. Some newspaper editors were also writers, as in the case of Li Baojia. The circulation figures for *The News*, a Shanghai newspaper, reached 150,000 when Zhang Henshui's novel *Tixiao yinyuan* (1929–30, *Fate in Tears and Laughter*) was serialized. Zhang was the most popular novelist in China in the twentieth century but until recently, he and those who wrote popular fiction were dubbed writers of the *Yuanyang hudie pai* (“Mandarin Ducks and Butterflies”) school. Again, until recently, this group and their writings were largely marginalized by literary historians inside and outside of China, despite, or perhaps because of, their enormous commercial success.

Chinese literary modernity has been a contested issue, especially with regard to what constitutes the notion, and when and how it merged. Many scholars used to, and some still do, mark the beginning of modern Chinese literature with the publication of Lu Xun's short story, *Kuangren riji* (1918, “Diary of a Madman”) in 1918, and consider Lu Xun the founding father of modern Chinese literature. Most also agree that discussions on “the literary revolution” started by Hu Shi (1891–1962) in 1917 in the journal *Xin qingnian* (*New Youth*) edited by Chen Duxiu (1879–1942) signaled the beginning of modern Chinese literary sensibility. However, it has been increasingly accepted that since the mid-nineteenth century, elite thinkers had already begun to connect the novel with nation building and identified the genre as the ideal medium in which to usher in new ideas for China's social and cultural change. Many intellectuals and writers, for whom the two roles naturally overlapped and still do, wanted to change the practice of creative writing in order to serve the purposes of nation build-

ing. Their debates on the form and content of poetry and fiction have had far-reaching implications for the creative process, the literary output, and the public reception of Chinese literature since that time. The raised status of the novel and the novelist was a major outcome and a significant indicator of the profound social and cultural transformation initiated in China in the first decades of the twentieth century.

Increasingly, scholars have tended to assert that the last decade of the nineteenth century and the beginning of the twentieth century should not be regarded simply as a transitional period from the traditional to the modern. Those years should be considered the beginning of modernity in Chinese literature, for significant changes had already started to occur during this period. First, novels overtook prose and poetry as the primary literary genre and boasted large numbers of publications and translations. Second, the printing industry was booming and led to rapid growth in the readership of fiction, another sign of literary modernity (see PUBLISHING). Third, there were already critical discourses on literature dealing with a variety of topics ranging from the political ideology of national salvation to the aesthetics of modernity. The scope of thematic concerns and cultural geography covered by novels also vastly expanded.

The most obvious change was the rise of the vernacular as the preferred language over classical Chinese, and creative writing in the vernacular also began to command and win respect from readers and society. At the same time, many writers, poets, and essayists consciously borrowed NARRATIVE TECHNIQUES, styles, and even plots from European and other literary traditions. In the case of fiction, it was the short story that first adopted techniques and styles from European and Japanese literatures. Novels followed suit, but it was not until the early 1930s that novels modeled on European

ones appeared, with Mao Dun's trilogy, *Shi* (1927–28, *Eclipse*), as the first examples. His second significant attempt, *Ziye* (1933, *Midnight*), was intended as a grand narrative to capture the complexities and scope of the social, political, and economic changes of China in the early twentieth century from a Marxist understanding of societal structure and class conflict. Set in Shanghai, with central characters as major players in Shanghai's business and industry, the narrative on the whole constructs a credible picture of Shanghai's urban ethnography. Apart from having to contend with riots in their home villages from which the raw materials for industry came, these "nationalist" entrepreneurs also encountered workers' uprisings, which were led by the communists but eventually fell victim to the "imperialists" who ran transnational companies. Mao Dun's social realist writings of the 1920s and 1930s assured him leadership status in the Chinese communist literary establishment. Although he wrote no more novels after the founding of the People's Republic of China in 1949, his position as the chief ideologue of the Chinese Communist Party was never challenged. The first and foremost prize for the Chinese novel established in 1981 by the Chinese authorities is named after him.

In the 1930s and the 1940s, novels by Ba Jin were widely read, especially his trilogy *Jiliu* (Torrents), consisting of *Jia* (1933, *Family*), *Chun* (1938, *Spring*), and *Qiu* (1940, *Autumn*). The trilogy describes how the different generations in a traditional gentry household in Chengdu, the capital of Sichuan in China's southwest, respond, or fail to respond to the turbulent social and cultural changes. Lao She was the first novelist to successfully center-stage the lives and struggles of the urban poor in the city of Beijing, and enriched the Chinese novel with the colorful expressions of Beijing local language. *Luotuo Xiangzi* (1936, *Rickshaw*)

is most representative of his writing. It charts the trajectory of an honest, young Beijing rickshaw puller whose dreams, integrity, and strength are progressively destroyed by dark forces on all sides. Qian Zhongshu, a highly respected scholar, was author of a witty satire, *Weicheng* (1947, *Fortress Besieged*), in which a student returning from France with a fake university degree becomes trapped in a series of acts of deception and insincere relationships.

A simplistic division in response to novels occurred in the process of transition: the novels that adopted Western narrative traditions were generally considered "new" and the ones following traditional Chinese narrative features were regarded as "old." This was rather unfortunate, for the terms automatically mis/placed Chinese indigenous features in the category of the *passé* and the conservative, which in many cases was not accurate. Contrary to the ideal of the writers of new novels, who wanted their writings to educate the masses to facilitate social progress and promote China's nationalist agenda, their emphasis on innovation proved to be elitist (see NATIONAL). The new novels failed to reach the intended readers and thus could not rival the "old" in popularity. What fundamentally differentiated the new from the old was the change of the purpose of fiction writing from popular entertainment to nation building—the novel was now written to "awaken" the masses so that they would become enlightened citizens who would together constitute a strong nation. To be "new" became the ideology of Chinese intellectuals, and this required a clear departure from traditional Chinese cultural practices. Paradoxically, there was nothing truly radical in the intent of the new fiction, despite its transformation in form and subject matter. The proposal that literature serve the nation was deeply connected with the age-old Confucian tradition that

“writing should convey the Way,” although the novel was not considered part of “writing” in the premodern Chinese cultural context.

FROM SOCIALISM TO COMMERCIALISM: THE NOVEL'S GREAT LEAP FORWARD

The change to the political system in China in 1949 transformed the literary landscape. For the following twenty years, novel writing became a political task imposed on novelists. Writers were urged to follow the leftist tradition which emerged in the 1920s and flourished in the 1940s in the communist-controlled areas, with representative writers such as Ding Ling and Zhao Shuli. This resulted in a sharp decrease in variety, quantity, and, necessarily, quality. Many a *geming xin chuanqi* (new revolutionary romance) was produced according to the Party guidelines of socialist realism and socialist romanticism that prescribed the foregrounding of communist heroes (see RUSSIA 20TH C.). Since access to literature produced in other times and other places was extremely limited, Chinese readers managed to enjoy “red classics,” such as Qu Bo’s *Linhai xueyuan* (1957, *Tracks in the Snowy Forest*), *Qingchun zhi ge* (1958, *Song of Youth*) by Yang Mo, and *Hongyan* (1962, *Red Crag*) by Luo Guanbin and Yang Yiyang.

Between 1966 and 1976, Mao Zedong (1893–1976), Chairman of the Chinese Communist Party, launched a political campaign called the Great Proletarian Cultural Revolution. The extreme political repression during the ten years in effect stopped genuine creativity and very few novels were produced. The master in the practice of “socialist realism” and “socialist romanticism” was Hao Ran, whose novels, *Yanyang tian* (1964, 1966, 1971, *Bright Sunny Days*) and *Jinguang dadao*

(1972–74, *The Golden Route*) are representative samples of Chinese socialist revolutionary literature. The varying publication dates reflect the different editions incorporating changes dictated by the political demands of the day.

The death of Mao in 1976 began a period of renaissance in the Chinese novel. In the 1980s, Chinese writers and intellectuals went through a process of soul-searching, when they welcomed ideas from outside and experimented with all sorts of writing styles. Since the rapid transformation of China into a relatively open market economy in the 1990s, the publishing industry has become highly commercialized and diversified. The increased speed and scope of globalization has also provided novelists with many opportunities to interact with writers outside of China and to absorb influences from writings in Chinese published abroad and writings in other languages. Since the 1970s the Chinese novel has taken several great leaps forward, developing into extraordinarily diverse shapes, styles, and forms, and achieving greater productivity, readership, and international recognition. Censorship has eased, but still exists and continues to be a significant factor in the context of literary production, as writers and publishers tend to practice self-censorship to avoid financial penalties. Nevertheless, the unleashed energy and creativity of Chinese novelists has produced a prodigious quantity of novels in recent decades.

Trends in ideas, styles, and thematic concerns have come and gone in recent Chinese fiction: the *shanghen wenxue* (“scar literature”) that reflects on the traumatic memories and experiences inflicted by the Cultural Revolution; the *xungen wenxue* (“roots-seeking literature”) that engages in the quest for national potency by returning to traditions and the primitive; the Chinese *xianfeng wenxue* (avant-garde) that subverts not only the communist party-state’s

ideology but also conventional narrative ideas and practices (see SURREALISM); the FEMINIST writers who ponder and criticize social repression of women in both pre- and post-socialist Chinese societies, whereas *meinü zuojia* (beautiful women writers) capitalize on their GENDER and SEXUALITY by writing with their body (*shenti xiezu*, meaning their writing focuses on their own physical and sexual experiences). In the 1980s, works in Chinese translation by Gabriel García Márquez arrived, together with those of Milan Kundera and Marguerite Duras, all of whom were overwhelmingly refreshing to Chinese writers and readers and are still relevant to how Chinese novels are written, especially with regard to the ongoing negotiations between tradition and modernity, between the individual and the authorities, and between the local, the national, and the international. The recent appearance of middle-class white-collar office workers in China's metropolitan centers has led to the birth of *chengshi wenxue* (urban literature), including novels that explore modern urban themes, such as middle-class lifestyles, isolation from communities, and dislocation or anxieties over relationships or commercial competition. In recent years *qingchun wenxue* (youth literature) has emerged, with Guo Jingming and Han Han being the best known and most admired by readers in that age group as well. This only-child generation expresses little interest in their fiction in matters of national, political, or ideological significance. Still in their teens and twenties, their life experiences in China's post-socialist decades and their literary concerns differ greatly from those of their predecessors. Nevertheless, adolescent elaborations on the meaning of life and the special brand of urban youth melancholy have proved to be popular, and such works have been topping bestseller lists since the late 1990s. There is also a vast on-line fictional world

with correspondingly large numbers of writers and readers interacting in the virtual world of creativity. When the reputations of the best of the on-line writers reach a certain level, their works may emerge in print media as published novels.

LEADING CONTEMPORARY CHINESE NOVELISTS

Alai was born in a Tibetan village of about twenty households in northwest Sichuan, on the outskirts of the Tibetan plateau. He writes in Chinese, which is not his native language, and his distance from the Han Chinese language and culture gives his depiction of his native Tibetan village life plenty of exotica and extra dimensions. His writings are powerful as they articulate alternative ways of viewing relations between China and Tibet. Alai's debut novel, *Chen'ai luoding* (1998, *Red Poppies*), deals with Tibet's historical transition in the first half of the twentieth century when the Tibetan chieftains were tricked into fighting among themselves by the Nationalist power-brokers and ended up being taken over by the Communists. The central character is the "idiot" son of a chieftain with a Han Chinese wife, whose "idiocy" protects him from the potential political dangers. Ten years later, in his second novel of three volumes and over a thousand pages, *Kongshan* (2005–7, *Empty Mountains*), Alai tackles the process of political, social, and cultural changes made in a Tibetan village by the Chinese communist state. The brutality of that process is most effectively revealed through the conflicts within the villagers themselves during the stages of communization of agricultural production, mass violence during the Cultural Revolution, and the total destruction of the native forests in the 1990s following market reform. His most recent novel is a rewriting of the Tibetan mythology, *King Gesar* (2009).

Jia Pingwa's most important novel to date, *Feidu* (1993, *Ruined Capital*), is set in the city of Xi'an, where he resides. The protagonist, a famous middle-aged writer in the city, is confused and lost when Chinese society is devastatingly commercialized in the early 1990s and men are led astray by power, money, and sex. The book was extremely popular and controversial, especially with regard to the characterization of the protagonist and his sexual behavior, which were a novelty in the 1990s. Half a million copies were sold within six months and the government rushed to ban it. His novel *Qinqiang* (2003, *The Shaanxi Local*), about the gradual disappearance of local cultural traditions in Shaanxi, especially the local opera *Qinqiang*, won the inaugural and most prestigious prize for literature in the Chinese language administered in Hong Kong, the *Dream of the Red Chamber Prize*.

Mo Yan began publishing short stories at the beginning of the 1980s, but it was with his novel *Honggaolian jiazhu* (1987, *Red Sorghum*) that he gained national fame and international attention, when the story was adapted into the internationally renowned film *Honggaoliang* (dir. Zhang Yimou, 1988, *Red Sorghum*). A highly prolific writer, Mo Yan has won many national prizes and to date is the most translated Chinese writer into English. Bearing strong imprints of MAGICAL REALISM, Mo Yan's novels are mostly about the villagers in his native Gaomi village in Shandong, northern China. His most recent novel is *Shengsi pilao* (2005, *Life and Death Are Wearing Me Out*), in which the central character lives through a number of reincarnations after he is executed as a landowner by the communist authorities. The novel offers fascinating observations of China's socialist revolution and the economic reforms since 1949 from the perspectives of a landlord, a donkey, a pig, a monkey, and eventually a retarded boy.

Su Tong shot to fame in 1993 when Zhang Yimou adapted his short story, "Wives and Concubines" into the internationally known film, *Raise the Red Lantern*. He has been best known for his short stories and novellas that depict the daily lives of local residents of small towns or villages along the lower stretch of the Yangtze River. He has produced a number of novels, including *Wode diwang shengya* (1993, *My Life as an Emperor*) and *Mi* (2002, *Rice*). *He'an* (2009, *The Boat to Redemption*) relates the experiences of a young boy, who becomes ostracized by his peers as soon as his father's official title and the status of a communist martyr's orphan are taken away. The boy and his father remain estranged throughout the years that the father and son are exiled to live on a boat without any hope of returning to live on shore. Verging on the absurd, the novel is a bold subversion of the standard narrative of heroic martyrs of the Chinese communists. It won the Mann Asian Literary Prize in 2009.

Wang Anyi, from Shanghai, has been highly prolific and adaptable in her writing. She has produced works that can be considered representative of many of the trends and styles current in the Chinese literary scene since the 1980s. Her "love" trilogy, *Sanlian—Huangshan zhi lian* (1986, *Love on a Barren Mountain*), *Xiaocheng zhi lian* (1986, *Love in a Small Town*), and *Jinxiugu guzhi lian* (1987, *Love in Splendor Valley*)—sparked discussions on female sexuality, a topic that had been removed from Chinese society thirty years before. *Changhen ge* (1996, *The Song of Everlasting Sorrow*) traces a typical Shanghai woman's life from the early 1940s to the 1990s, with detailed descriptions of Shanghai's cityscape and local cultural practices in the laneways of this cosmopolitan city. A refined literary work, this novel has attracted critical acclaim in and out of China. It has been

translated into English and adapted for film and a television series (see ADAPTATION).

The novelist Yan Geling is a rising star who emerged around 2005, although she had been publishing since 1978 and had produced several scripts for award-winning films. In 2008 her novel *Xiaoyi Duohe* (2008, *Little Aunt Tatsuru*), a story which deals with the survival of a Japanese woman in a Chinese village in Manchuria after WWII, won the best novel prize from *Shouhuo* (*Harvest*), the most respected literary journal in China. Her novel *Dijiuge guafu* (2006, *The Ninth Widow*) firmly established Yan Geling's reputation as one of China's leading novelists.

Yu Hua's earlier writings were short stories bordering on the edges of the avant-garde, but he is best known for his neorealist novels, in which he exposes his readers to extremes of the grotesque, the violent, the wretched, and the ridiculous. These novels include *Huozhe* (1992, *To Live*), *Xu Sanguan maixueji* (1995, *Chronicle of a Blood Merchant*) and *Xiongdì* (2005, *Brothers*). *Brothers* is controversial and the critics are divided in their assessment of the im/probability of the fictional events in the novel. It presents a surrealistic view of China in the second half of the twentieth century, showing how violence and inhumanity intrude on ordinary people's personal and family lives: the communist state and its ideology during the Maoist years (1949–76) are responsible for people's suffering, but so too is the all-pervasive rampant commercialism in all aspects of Chinese society afterwards.

THE NOVEL IN THE CHINESE-SPEAKING WORLD

In 1949 greater China was geopolitically divided into the Mainland, Taiwan, Hong Kong, and the Chinese diaspora. This seg-

regation has led to very different literary developments in the various parts of the Chinese-speaking world. In Taiwan, native writers wrote differently from recent émigrés from the Mainland. The latter, strongly influenced by modernist writers such as James Joyce and Franz Kafka, produced novels that dealt with feelings of homesickness, nostalgia, and alienation when the writers, like many of their protagonists, were trying to find ground in their newly found homes in Taiwan and elsewhere. Bai Xianyong, who immigrated to the U.S. in 1962, is among the best known in the group. Although most of his fiction is short stories, his novel *Niezi* (1977, *Crystal Boys*), about a homosexual boy's conflicts with his family and society, is not only illustrative of Taiwan's social reality but also poses serious challenges to the establishment and its dominant values (see QUEER). Wang Wenxing's *Jiabian* (1973, *Family Catastrophe*) caused a great deal of controversy when it came out and remains a novel that divides opinions. The novel is a double narrative about two contradictory responses to the sudden disappearance of the father: one rejects filial piety and the other is conciliatory and contrite to the patriarch. At the same time, the family's flight from Mainland China is only incorporated as a vague narrative background.

Taiwan's nativist writers, the descendants of Chinese migrants who arrived centuries earlier, began exploring their own identities, local traditions, and Taiwan's political reality in the 1970s. From this there arose a literature that articulated Taiwan's nativist consciousness. Wang Zhenhe's *Meigui, meigui, wo ai ni* (1984, *Rose, Rose, I Love You*) and Li Qiao's trilogy *Hanye* (1980, *Wintry Night*) both deal with modern social changes and the lives of the native and aboriginal peoples on the margins of the island's colonial society.

Continuing with the tradition of popular entertainment, Qiong Yao is well known through her huge output of novels, with a total of sixty-one novels of romantic love to her name. It is small wonder that “Qiong Yao fever” lasted for more than two decades from the 1960s to 1980s in the entire Chinese-speaking world. Her best-known titles are *Chuangwai* (1963, Outside the Window) and *Tingyuan shenshen* (1966, Deep is the Courtyard). Her love stories bear a strong resemblance to the earlier Chinese popular love stories by writers of the “Mandarin Ducks and Butterflies” school of the 1920s.

The two sisters, Zhu Tianwen and Zhu Tianxin, have both been prominent, prolific, and influential writers in Taiwan since the 1980s. *Huangren shouji* (1994, *Notes of a Desolate Man*) is Zhu Tianwen’s major novel, which explores the complexity of identity politics in current Taiwanese society through a middle-aged homosexual man’s quest for love and his constant negotiation with different cultures in Taiwan society: Taiwanese native culture, Chinese culture, and foreign cultures, especially the legacy of Japanese colonialization and popular cultural influences of the U.S. Zhu Tianxin mainly writes short stories and her best known collection is *Gudu* (1997, *The Old Capital*).

The *wuxia xiaoshuo* (martial arts novel) is often considered the most enduring and most typical of indigenous Chinese narrative forms. Its roots can be traced back to earlier novels such as *Xiyou ji* and *Shuihu zhuan* and its modern renderings began in the 1920s. The age-old indigenous genre took on a new lease of life in the postwar years in Taiwan and Hong Kong. Independently from each other, in both places, prominent writers of this genre emerged and attracted their own large readership. It is in Hong Kong, however, that this genre has had greater development and impact.

Martial art novels by Liang Yusheng and Jin Yong have been enjoyed by millions of readers from the masses to elite intellectuals and by even wider audiences when they have been adapted into films and television dramas. The best-loved titles are the ones by Jin Yong, including *Shujian enchou lu* (1955, rev. 1975, *The Book and the Sword*), *Shediao yingxiong zhuan* (1957, rev. 1978, *Legend of the Eagle-Shooting Heroes*) and *Xueshan feihu* (1959, rev. 1976, *Flying Fox of Snowy Mountain*). The attraction of martial arts fiction is manifold, including the articulation of Chinese cultural traditions, emotional patterns familiar to the Chinese reader, and the highlighting of Chinese aesthetics in the narrative language and structure. The popularity of the martial arts novel attests to the global scale of Chinese popular culture.

Since the early 1920s, a considerable number of Chinese writers have visited or settled outside China. The Chinese diaspora, namely, immigrant communities in different countries all over the world, form large groups of readers and writers of Chinese novels, which I will confine to those written in Chinese for the purpose of this introduction. These writings produced by overseas Chinese are often referred to as *haiwai wenxue* (literature in diaspora). Most of these writers wrote short stories or novellas until the 1960s, when a sizable number emigrated from Taiwan to the U.S. Nie Hualing, one of the founders and organizers of the International Writing Program at the University of Iowa, published *Sangqing yu Taohong* (1976, *Mulberry and Peach: Two Women of China*), a powerful novel which recaptures China’s turbulent history by following the protagonists’ footsteps from China to Taiwan and eventually to the U.S.

The diaspora novels are increasingly influential, not only in the locations where

they are produced, but in the homelands and internationally. Gao Xingjian won the Nobel Prize for Literature in 2000 with his autobiographical memoir-fiction, *Lingshan* (1990, *Soul Mountain*). The narrative details the physical and spiritual journey of self-discovery when Gao's escape from political persecution takes him to places far away from China's political centers where he discovers the depth and strength of Chinese cultural traditions. Some diaspora novels focus more on the lives of Chinese in their adopted country, especially their struggle for "success." *Beijingren zai Niuyue* (1999, *A Native Beijinger in New York*) by Cao Guilin has been adapted into a television series, attracting audiences in the millions.

Recent political and technological changes have again allowed easier and more frequent literary interactions among the various parts of the Chinese-speaking world. Although writers in different parts of the Chinese world still appear to write with a focus on their immediate surroundings, Chinese novels are converging again, with their reception and distribution already global.

SEE ALSO: Ancient Narratives of China.

BIBLIOGRAPHY

- Hanan, P. (1981), *Chinese Vernacular Story*.
 Hsia, C.T. (1968), *Classic Chinese Novel*.
 Hsia, C.T. (1999), *History of Modern Chinese Fiction*, 3rd ed.
 Mair, V.H., ed. (2001), *Columbia History of Chinese Literature*.
 McDougall, B.S. and K. Louie (1998), *Literature of China in the Twentieth Century*.
 Mostow, J.S., ed. (2003), *Columbia Companion to Modern East Asian Literature*.
 Owen, S., ed. and trans. (1996), *Anthology of Chinese Literature*.

Chronotope see Bakhtin, Mikhail

Class

CAROLYN LESJAK

Karl Marx's *Capital*, vol. 3 famously breaks off with two questions about class: "What makes a class?" and "What makes wage-labourers, capitalists and landlords the formative elements of the three great social classes?" (1981, 1025–26). These questions, unanswered in any systematic way in Marx's writings, shape the early history of discussions of class, a discussion, importantly, that really only begins in the mid-nineteenth century, when the language of class gradually replaces the earlier language of rank and order. As Raymond Williams clarifies, "The essential history of the introduction of class . . . relates to the increasing consciousness that social position is made rather than merely inherited. All the older words, with their essential metaphors of standing, stepping and arranging in rows, belong to a society in which position was determined by birth" (1976, *Keywords*, 61–62). The history of class as we now understand it, then, is primarily a history of the nineteenth and twentieth centuries.

While the MARXIST tradition forms one dominant strand in this history, it by no means holds a monopoly. In fact, the history of class as a concept is best understood as a series of debates within Marxism and between Marxism and a range of other critical approaches that have challenged the primacy of class over other social categories and considerations, such as RACE, GENDER, sexual orientation (see SEXUALITY), global inequalities, postmodernism, and postcolonialism. Given the enormity of this history, this entry will limit its scope to outlining a number of representative attempts to define class, sketching key theories of the novel in relationship to

the issue of class, and highlighting a series of transitional moments in the evolution of thinking about class, both generally and more specifically in relation to the development of the nineteenth-century British novel.

DEFINING CLASS

About the only thing most critics agree on about the issue of class is that it's a notoriously difficult term and topic. Williams identifies one aspect of the difficulty in the slippage of meaning between class as a descriptive grouping and class as an economic relationship. "The problem is still critical," he writes, "in that it underlies repeated arguments about the relation of an assumed class consciousness to an objectively measured class, and about the vagaries of self-description and self-assignment to a class scale" (68). In short, is class structurally determined or a form of political alliance? Depending on the answer, the politics surrounding the idea of class as a structural category and class consciousness look quite different.

On a more basic definitional level, Williams points out that historically class distinction has moved between a binary and a tripartite structure. Different binary models pit employers against workers, the idle or privileged against the productive or useful, bourgeois against proletarian. Tripartite structures, on the other hand, distinguish between landlords, capitalists, and laborers (as in J. S. Mill's formulation) or wage-laborers, capitalists, and landlords (as Marx does in *Capital*, vol. 3). Perhaps the most important tripartite model, in terms of the history of the novel, involves the introduction of the "middle class," which becomes, along with "working class," a common term by the 1840s. Its relative status highlights the tension between class as a marker of social distinction and as a function of economic relationships.

More recent developments underscore the difficulty of definition. In *Race, Nation, Class* (1991), coauthored by the French Marxist Etienne Balibar and world-systems theorist Immanuel Wallerstein, Wallerstein attempts to isolate the solely economic determinants of class position. "The bourgeoisie [are] those who receive surplus-value they do not themselves create and use some of it to accumulate capital" and "the proletariat are those who yield part of the value they have created to others. In this sense there exists in the capitalist mode of production only bourgeois and proletarians" (120). But as the British Marxist Robin Blackburn argues, polarized versions of class determination simply no longer obtain given what he calls "financialization," namely the expansion of the financial sector into all aspects of everyday life, including those of individuals Wallerstein would deem part of the proletariat. The linking of pension funds to the market, as well as mortgages, insurance contracts, and annuities, bring more and more individuals into the market, as it were, and "extend the realm" of what Blackburn calls "'grey capitalism,' in which relations of ownership and responsibility become weakened and blurred" (2006, "Finance and the Fourth Dimension," *New Left Review* 39:41).

These complications in no way signal that class as a social category of analysis should be jettisoned. "The proletariat is not what it used to be," Michael Hardt and Antonio Negri acknowledge, "but that does not mean it has vanished. It means, rather, that we are faced once again with the analytical task of understanding the new composition of the proletariat as a class" (2000, *Empire*, 53).

CLASS AND NINETEENTH-CENTURY BRITISH HISTORIOGRAPHY

Divergent readings of class are inseparable from the larger political and socioeconomic

conditions within which they gain traction. The analysis of class in nineteenth-century British historiography offers a particularly illuminating example of this dialectical relationship, by both highlighting the deep connections between social movements and theoretical concepts of class and suggesting how changing notions of class have been mobilized historically. More generally, this disciplinary history points to a number of key transitional moments when class and its theorization dramatically alter.

In *The Making of the English Working Class* (1963), E. P. Thompson defines class as a historical relationship always “in the making”; less a “thing” or an “it,” the working class is made by way of an active social process, one in which individuals are at once conditioned by and exert influence over their immediate historical experience. He targets economistic treatments of class that neglect “real people” and “real contexts” and argues instead for a more catholic understanding of class politics, involving new kinds of workers (notably, artisans) and an expanded conception of labor. His reading of the nineteenth-century working class, and his later work on William Blake and William Morris, equally intervenes in contemporaneous Marxist debates, insisting, in the wake of Stalinism and scientific socialism, that a new socialist politics inclusive of a vocabulary of desire is needed.

Despite its expansion, Thompson’s definition of class nonetheless contains a conspicuous absence. As the FEMINIST historian Joan W. Scott notes, “In trying to work within the boundaries set by canonical texts like Thompson’s, [feminist socialists] faced a tradition that held to a universalized definition of class, the meaning of which was nonetheless constructed in gendered terms” (1988, *Gender and the Politics of History*, 83). Feminist challenges to Thompson have taken two routes. One has been to recognize

the significant roles women played in the history of industrialization charted by Thompson, a move paralleled within literary studies of the novel by the inclusion of women writers and an attention to gender politics within a broad range of novels written by both male and female authors. In the disciplines of both history and literature, this first wave of feminist work leaves the older categories of class analysis largely in place.

The other major challenge results from the “linguistic turn” prompted by the impact of continental theory on the humanities beginning in the late 1960s and dominant within literature departments by the 1980s (see STRUCTURALISM). In history, specifically, the language and construction of class as a concept becomes the new object of study. In this second wave, older class analyses are shown to be premised on an unacknowledged sexual difference, suggesting how deeply intertwined class and gender are—a recognition that will then be extended to the relationship between race and class, and eventually to a whole host of other social categories of identity.

Also working within a linguistic model, Patrick Joyce questions historians’ use of the language of class altogether in his claim that class was not “the collective cultural experience of new economic classes produced by the Industrial Revolution” (1995, *Class*, 322). Joyce’s conclusions speak pointedly to the anxieties aroused by the influx of theory into history; as new social categories and concepts such as “sociality,” “habitus,” and “governmentality” are invoked, the whole question of who constitutes an historical actor within what kind of narrative appears to be up for grabs (11). Less an occasion for moral outrage or political disaffection, however, these developments register the ongoing need to critically articulate the constitutive categories of identity within a now fully global capitalism.

CLASS AND THEORIES OF THE NOVEL

Historically, theories of the novel have tended to concentrate on the construction of the middle class, given the novel's close identification with a middle-class market culture. Ian Watt's *The Rise of the Novel* (1957) serves as one starting point for the placing of the novel in history. Watt links the rise of the novel to the rise of the middle class and identifies realism "as the lowest common denominator of the novel genre as a whole" (34). He sets the stage for a rich and ongoing debate about the relationship between realism and the novel and about the novel's class politics.

Watt has been criticized for neglecting the role of women both as writers and readers; inaccurately representing capitalism by focusing on its productive needs at the expense of its equally powerful demands with respect to consumption; presenting the novel as a more consolidated form than it actually was at the time; and failing to consider other narrative forms and media shaping eighteenth-century culture. These criticisms have spawned new social histories of the novel inflected by new theoretical discourses. Key developments include psychoanalytic, Foucauldian, and New Historical readings, each of which has resituated issues of class and, in some cases, stopped talking about it altogether (see *PSYCHOANALYSIS*). Following Foucault, D. A. Miller's *The Novel and the Police* (1989), for example, moves toward a "micro-politics" of power and domination and away from economic analyses of capitalism and class. Foucauldian-influenced theories of the novel importantly expand the ambit of novel studies, "[making] it possible," as Nancy Armstrong in *Desire and Domestic Fiction* (1987) argues, "to consider sexual relations as the site for changing power relations between classes

and cultures as well as between genders and generations" (10).

At the same time, however, the shift toward "micro-politics" is also a primary point of contention for Marxist literary critics. Gayatri Spivak, for example, argues that Foucault loses the ability to understand how macropolitical interests determine micro-interests once he abandons the notion of *IDEOLOGY*. Sharing this concern regarding the loss of key Marxist terms, Fredric Jameson's groundbreaking *The Political Unconscious* (1981) argues for the indispensability of a notion of class, given Marx's recognition that "The history of all hitherto existing society is the history of class struggles" (*Communist Manifesto*, 34). "It is," he writes, "in detecting the traces of that uninterrupted narrative, in restoring to the surface of the text the repressed and buried reality of this fundamental history, that the doctrine of a political unconscious finds its function and its necessity" (20). Class, in Jameson's account, will only disappear with the end of capitalism.

CLASS IN THE NINETEENTH-CENTURY BRITISH NOVEL

Within the nineteenth-century British novel, readings of class roughly follow the trajectories already outlined vis-à-vis British historiography and theories of the novel. Rather than repeat this chain of interpretive moves, this section focuses on one problematic regarding the representation of class: the difficulty of representing the working class within a predominantly middle-class form. One aspect of this problem arises in the group of novels known as industrial novels, written in the years between the two Reform Bills, 1832–67, the period when new subjects were not only appearing in novels but also being enfranchised politically. In their focus

on the industrial working class, novels such as Elizabeth Gaskell's *Mary Barton* (1848), Benjamin Disraeli's *Sybil* (1845), Charles Dickens's *Hard Times* (1854), and George Eliot's *Felix Holt* (1866) grapple with the dilemma of how to represent the working class and industrial labor without promoting social revolution, in turn registering the class allegiances of these novelists. From a different angle, the new historicist Catherine Gallagher argues in *The Industrial Reformation of English Fiction* (1985) that the industrial novel represents a problem of translation between the social and the novelistic, which leads ultimately to the supplanting of industrial fiction by less politically contentious forms of literature in the latter decades of the nineteenth century.

Yet even as the industrial novel as a genre wanes, later nineteenth-century novels extend its concerns in the changed circumstances of an increasingly corporate capitalism. In the 1880s and 1890s, George Gissing returns to the issue of the working class and poverty in slum novels such as *Workers in the Dawn* (1880) and *The Nether World* (1889), both of which portray in sordid detail the miserable living conditions of the poor. In these works, as Jameson suggests, the "solution" of the Dickensian paradigm—the hearth as "Utopian refuge from the nightmare of social class" (188)—produces new problems, as the home now becomes a space which serves to further impoverish and underscore the class divide. William Morris, seemingly recognizing the representational impasse class provokes in the realist novel, swore off the form altogether and instead, in *News from Nowhere* (1890), turned to the utopian romance to represent his vision of a classless society. Thomas Hardy, within the context of agricultural labor, brings to metropolitan Britons the everyday experiences of the rural working class from his own complex position as a participant-observer (see ANTHRO-

POLOGY). In these later representations of the working class, class differences become sites for the larger recognition that an older way of life is disappearing. As he peruses job advertisements in a reading room, Paul Morel, in D. H. Lawrence's *Sons and Lovers* (1913), expresses this loss explicitly in terms of the triumph of industrialism: "Then he looked wistfully out of the window. Already he was a prisoner of industrialism. . . . The valley was full of corn, brightening in the sun. . . . He was being taken into bondage. His freedom in the beloved home valley was going now" (89).

If, for Lawrence, industrialism names the complex of social factors shaping the early twentieth century, globalization undoubtedly performs the same function today. While the world globalization attempts to describe may be exponentially more complicated, and the conceptual framework needed to explain that world ever more elusive, the history and developments traced in this essay should be a reminder of the urgency behind these theoretical and activist projects: that class and its new variants represent persistent attempts to come to terms with the vagaries of capitalism and to provide adequately explanatory narratives for the new social relations capitalism is in the business of creating.

BIBLIOGRAPHY

- Armstrong, N. (1987), *Desire and Domestic Fiction*.
 Clark, A. (1995), *Struggle for the Breeches*.
 Gallagher, C. (1985), *Industrial Reformation of English Fiction*.
 Jameson, F. (1981), *Political Unconscious*.
 Koven, S. (2004), *Slumming*.
 Lesjak, C. (2006), *Working Fictions*.
 Lynch, D. (1998), *Economy of Character*.
 Marx, K. (1998), *Communist Manifesto*.
 Robbins, B. (1986), *Servant's Hand*.
 Spivak, G.C. (1999), *Critique of Postcolonial Reason*.
 Thompson, E.P. (1963), *Making of the English Working Class*.

Closure

TREVOR CRIBBEN MERRILL

Closure conventionally denotes a satisfying sense of completion at the end of a literary work. The term is no mere synonym for “ending,” as a poem or novel can stop without providing closure. In other words, closure suggests not just the de facto endpoint of a literary text but some kind of relief or release. In popular psychology, it refers to a therapeutic resolution to trauma, a final stage in the grieving process. In *The Sense of an Ending* (1967), considered a seminal mid-century contribution to scholarly debates on closure, Frank Kermode argues that we need fictive ends to grasp time as something meaningful and human: there is an innate anthropological hunger for closure, yet at the same time a desire for peripeteia and surprise. We like our expectations to be thwarted before they are satisfied.

The word *closure*, as David Hult has noted, derives from the Latin *clausura*, a participial form of the verb *claudere*, “to shut or close.” This contrasts with the nominal form of the Germanic word “end,” suggesting that closure is an act rather than a thing, a process that generates ending rather than ending itself. Hult affirms that the word entered academic discourse in the early 1970s after critic Barbara Herrnstein Smith used it in her book *Poetic Closure* (1968) to designate “the study of how poems end.” One way of defining the novel is to note that for it, this “how” does not go without saying. As Henry James observes in his preface to *Roderick Hudson* (1907), human relationships do not really end anywhere but keep flowing onward, and the novelist’s task is to circumscribe them in such a way as to give the illusion of closure. E. M. Forster writes in *Aspects of the Novel* (1927) that the “inherent defect” of novels is their weak endings. Novelists should stop

when they feel “muddled or bored” rather than falling back on hackneyed, conventional endings (marriage or death).

Aristotle’s *Poetics* offers the benchmark theory of narrative closure. Plot is the “soul” of tragedy and haphazard episodes have no place in Aristotle’s vision of drama. Even the most surprising reversals of fortune should appear to spring from necessary causes; the vulgar *deus ex machina* ending is to be avoided. Aristotle’s ideas about plot structure have undoubtedly shaped our conception of the novel. In *Fiction and the Shape of Belief* (1980), Sheldon Sacks provides a definition of the novel worthy of a latter-day Aristotle: “A work organized so that it introduces characters, about whose fates we are made to care, in unstable relationships which are then further complicated until the complication is finally resolved by the removal of the represented instability.” Peter Brooks invokes Aristotle’s notion of “recognition” in *Reading for the Plot* (1985) when he argues that we read present moments in anticipation of a final revelation that will confer retrospective meaning on the whole.

Yet the novel can arguably be defined as the genre that most stubbornly resists reduction to a prescriptive poetics, as Mikhail BAKHTIN notes in “The Epic and the Novel” (1941). For Bakhtin, the novel is best understood in comparison to the EPIC, which turns toward a distant, NATIONAL past and consolidates tradition rather than describing personal, everyday experience. In his view, the novel engages with the open-ended contemporary moment, which is “transitory” and “flowing” rather than fixed. These very features increase the need for clear structure: the novel’s treatment of chaotic everyday life compels authors to seek formal boundaries within which to contain their unruly material. By contrast, the epic cares little for formal beginnings and can remain incomplete, although it

could be argued that the return to Ithaca in the Homeric epic already represents a shift toward the novelistic register.

THEORIES OF CLOSURE

Novelists have concluded their works in so many different ways—including by leaving them unfinished—that it is hard to advance an overarching theory of novelistic closure, or even to produce a satisfying typology. Because there is no consensus about what form a novel should take, each new work is in some sense a reinvention of the GENRE.

One common closural scenario is conversion. In many novels, the hero rejects in extremis the very quest related in the narrative. Defeated, Don Quixote returns to his village, falls ill, and abruptly comes to his senses on his deathbed. The very banality of such endings has led some critics to dismiss them as insignificant appendages intended to appease religious censors or satisfy readers' expectations (see CENSORSHIP). For René Girard, this banality should be taken on the contrary as evidence of a common spiritual thread running through the novel's history. Don Quixote's deathbed return to sanity is a *conversion romanesque* ("novelistic conversion"). To write such a conclusion, novelists must first conquer pride. They then represent the hero's retreat from the world of pathological desire as death, sickness, or some other ego-shattering catastrophe. The conversion may take an explicitly Christian form, as in Dostoyevsky's *Prestuplenie i nakazanie* (1866, *Crime and Punishment*)—Girard calls this "maximal conversion"—or it may have the shape of a religious experience without being explicitly defined as such, as in Gustave Flaubert or Stendhal ("minimal conversion"). The death and resurrection motif recurs in works by

Honoré de Balzac, Leo Tolstoy, Madame de Lafayette, Jane Austen (*Sense and Sensibility*, 1811 and *Mansfield Park*, 1814, offer striking instances of life-threatening illness followed by repentance), and Marcel Proust, among others.

Theoreticians have invented various typologies to account for the many specific means by which novelists clinch their plots. In *Closure in the Novel* (1981) Marianna Torgovnick identifies three basic strategies for achieving closure: circular endings (which recapitulate the beginning); parallel endings (which refer back to a series of points in the text); and tangential endings (which, eschewing closure, head off in a new direction). Some conclusions are epilogue summaries in which loose ends are tied up from a bird's-eye perspective. Others show climactic action unfolding before the reader's eyes. In *La Clôture narrative* (1985, *Narrative closure*), Armine Kotin Mortimer, for her part, makes reference to an almost cinematic technique that she calls "fading out," a notable example of which is the conclusion of Balzac's *Illusions perdues* (1843, *Lost Illusions*) in which the Provincial *arriviste* Lucien rides off toward Paris with Carlos Herrera.

In all, Kotin Mortimer distinguishes five closural techniques: (1) the "ending-by-birth," in which the work comes to term at the same time as its heroine; (2) the "artistic solution," in which the narrator becomes an author; (3) the "tag line" (Rastignac's "*À nous deux maintenant*," "it's between you and me now") at the conclusion of Balzac's *Le Pere Goriot* (1834, *Father Goriot*) would be an example of this; (4) the "arrival at the present," one notable instance of which is the shift to the present tense at the end of Flaubert's *Madame Bovary* (1857); and (5) The "end as beginning," illustrated by, among others, André Gide's *Les faux-monnayeurs* (1925, *The Counterfeiters*).

Much recent criticism, especially in the 1980s, has viewed closure with a skeptical eye. J. Hillis Miller reduces the question of closure to an aporia: it is ultimately impossible to put one's finger on the point separating complication from dénouement, because the two movements are inextricably interwoven, with the result that every "tying-up" of a given plot sequence opens the way for a new dénouement or "untying," the whole cycle recurring in an endless and undecideable oscillation. D. A. Miller distinguishes the dynamic "narratable" from the static "non-narratable," claiming that narrative inherently tends to subvert wholeness because it subjects transcendent desire to a chainlike series of horizontal displacements. For critic Murray Krieger, these attacks on closure derive from "abhorrence of a totalized system and fear of its repressive consequences," while Armine Kotin Mortimer argues that the deconstruction of closure is symptomatic of an intellectual moment dominated by Derridean poststructuralism (see STRUCTURALISM).

CLOSURE AND THE HISTORY OF THE NOVEL

In François Rabelais's *Tiers livre* (1546, *Third Book*), Panurge never finds a conclusive answer to the question of whether he should marry. More than a half-century later, Miguel de Cervantes Saavedra lays his hero to rest in the second volume of *Don Quixote* (1615). Indebted to what Laurence Sterne called "Cervantick humour," the eighteenth-century novel blithely accepts loose ends, or else deliberately plays with deferred resolution to comic purpose. There are many exceptions, of course: it could be said that the whole thrust of Samuel Richardson's *Pamela* (1740) is the avoidance of wooing, until marriage is finally

possible. Yet Pierre Marivaux's forays into the nascent novel genre were no less acclaimed in their time for being episodic and unfinished, while in Sterne's *Tristram Shandy* (1759) digressive open-endedness becomes the joke on which the novel hinges. Writing of the eighteenth-century EPISTOLARY genre, Elizabeth J. MacArthur notes its tendency to elude the finality of fixed significations. She upbraids critics for reading apodictic morals into works such as Mariana Alcoforado's *Lettres Portugaises* (1669, *Portuguese Letters*) and Jean-Jacques Rousseau's *Julie, ou La Nouvelle Héloïse* (1761, *Julie, or, The New Héloïse*). Even those conclusions in which characters marry or withdraw to convents may be little more than perfunctory nods to convention, allowing the narrative to continue should authorial whim or public demand make a sequel desirable.

The nineteenth century sees the genre come into its own both formally and thematically. Early in the century, Austen's novels attempt to maximize the reader's pleasure in the fulfilled desires of the heroine, leading her to happiness at the very moment satisfying closure seems out of reach. *Jane Eyre's* famous last chapter, beginning "Reader, I married him," might be taken as emblematic of the nineteenth-century novel, which drives toward closure via marriage. Its essayistic passages on history notwithstanding, Tolstoy's *Voyná i mir* (1865–69, *War and Peace*) ends with the union of Pierre Bezukhov and Natasha Rostova. Not all of the period's works conclude so happily. Indeed, some culminate in ominous, apocalyptic scenes of destruction. Even as it features a moving religious conversion, the conclusion of Dostoyevsky's *Besy* (1872, *Demons*) sees an entire village engulfed in anarchic violence. In Emile Zola's *La Bête Humaine* (1890, *The Human Beast*) the hero grapples with a rival and falls to his death while driving

a train full of soldiers bound for the Franco-Prussian front.

In the twentieth century, Proust's *À la Recherche du temps perdu* (1913–27, *Remembrance of Things Past*) offers a vision of closure rooted in the writer's quest for inspiration: at the conclusion of the novel's seventh and final volume, after years mired in writer's block, the protagonist experiences a quasi-mystical illumination, at which point he decides to begin work on the very novel we have just finished reading, sending his readers back to square one. In this case, it seems that only making one's way through the novel a second time can provide full closure. The emergence of the procrastinating or blocked writer as a central character, in Proust or later in Thomas Bernhard, heralds an era of fraught or problematic closure, as writers increasingly thematize the elusive suture between the self that is narrated and the self that narrates (see NARRATOR). Titans of modern fiction such as Franz Kafka (1925, *Der Prozeß*, *The Trial* and 1926, *Das Schloß*, *The Castle*) and Robert Musil 1940–43 (*Der Mann ohne Eigenschaften*, *The Man Without Qualities*) leave their greatest works unfinished. Far from diminishing their stature, the lack of an ending contributes to our sense that these writers have heroically resisted the temptation of facile, timeworn means of resolution.

With postmodernism there emerges what might be called an "anxiety of closure," the suspicion that every conceivable scenario has been tried and innovation is impossible. In the last quarter of the twentieth century, works such as Italo Calvino's *Se una notte d'inverno un viaggiatore* (1979, *If on a Winter's Night a Traveler*) and David Lodge's *Small World* (1988) make the best of the situation by wholeheartedly embracing it. These novels valorize open-endedness while explicitly evoking the pleasures of unsatisfied deferral

for the reader. Lodge's decision to call his novel a "ROMANCE" is a nod to the Arthurian tradition, in which the pleasure of ending is deferred for the sustained (and exquisite) frustration of not ending. Meanwhile, in his novel *Nesmrtelnost* (1990, *Immortality*), Milan Kundera argues that dramatic tension is a curse because it transforms even the most beautiful and surprising moments of a text into mere stages on the way to resolution. Kundera's novels derive their internal coherence from a unifying existential theme ("immortality," "identity," "ignorance," etc.) rather than from the traditional unities of TIME, place (see SPACE), and action (see PLOT). The novel has "closed" when the theme has been thoroughly explored, regardless of whether the loose ends of the characters' lives have been tied up. Finally, Julio Cortázar's *Rayuela* (1963, *Hopscotch*) leaves the reader to choose between moving sequentially through the novel or jumping from section to section according to an itinerary provided by the author. The latter route ends in an infinite loop between the last two chapters, blurring the distinction between closure and openness in unsettling fashion.

SEE ALSO: Comedy/Tragedy, Definitions of the Novel, Domestic Novel, Serialization, Story/Discourse.

BIBLIOGRAPHY

- Aristotle (1989), "Poetics," trans. M. E. Hubbard, in *Classical Literary Criticism*, ed. D.A. Russell and M. Winterbottom.
- Booth, A., ed. (1993), *Famous Last Words*.
- Brooks, P. (1985), *Reading for the Plot*.
- Burke, K. (1959), "On Catharsis, or Resolution," *Kenyon Review* 21(3):337–75.
- Girard, R. (1965), *Deceit, Desire, and the Novel*, trans. Y. Freccero.
- Hult, D. (1984), "Editor's Preface," special issue *Yale French Studies* 67:iii–vi.

- Kermode, F. (1967), *Sense of an Ending*.
 Krieger, M. (1989), *Reopening of Closure*.
 MacArthur, E. J. (1990), *Extravagant Narratives*.
 Miller, D.A. (1981), *Narrative and Its Discontents*.
 Miller, J.H. (1978), "The Problematic of Ending in Narrative," special issue *Nineteenth-Century Fiction* 33(1):3–7.
 Mortimer, A.K. (1985), *La Clôture narrative*.
 Richter, D. H. (1974), *Fable's End*.
 Smith, B.H. (1968), *Poetic Closure*.
 Torgovnick, M. (1981), *Closure in the Novel*.

Cognitive Theory

BLAKEY VERMEULE

Cognitive theory is a new field of literary inquiry, having only begun to attract interest in the late 1990s. It now includes a wide array of approaches and ideas in a host of different subdisciplines. It connects with such well-established fields in LINGUISTICS as semantics, pragmatics, and the study of syntax. It also asks why we have the metaphors we do, how we process conceptual patterns in texts, and why poets and novelists converge on certain forms over and over again. Cognitive theory also takes in global concerns, such as the question of whether narrative is an adaptation or a by-product of other evolved capacities; how we empathize with fictional characters (and whether such empathy has the sorts of pro-social effects often claimed by critics); and what kinds of violations in our ordinary conceptual categories drive narrative interest.

Cognitive theory is part of a broader trend toward the empirical study of the arts, a trend that includes evolutionary literary criticism, statistical analysis of literary forms and others. Empirical approaches to literature seem, at least in part, to be a reaction against poststructuralist theory (see STRUCTURALISM). Poststructuralist theory, in all of its different manifestations, has been committed to a blank-slate picture of the human mind. In

psychology, the blank slate theory has long been discarded. Indeed, since the start of the twenty-first century, the field of psychology has become deeply consilient with biology and evolutionary psychology. Cognitive theory also strives to be consilient with psychology, or at least not to contradict its findings.

Because my topic is the novel, I will limit myself to the cognitive theory of narrative, a field that is now quite robust. I will also say a few things about how cognitive preferences might have shaped the novel over the past three centuries. Surprisingly, some of the strongest intuitions of novel criticism are being tested and confirmed by cognitive theory.

NARRATIVE AS A COGNITIVE UNIVERSAL

Human cognition, it is now widely accepted, depends on narratives. We simply cannot think—or retrieve memories—unless we think in stories. This view has been formulated in a number of different ways by various schools of thought from child-development researchers to primatologists to neurobiologists to philosophers. The view is that “the acquisition of language begins the process of conceptualizing and categorizing the thematic or narrative dimensions of human experience” (Tomasello and Call, 411). It has been vigorously pursued by, among others, the psychologist Roger Schank and the literary scholar Mark Turner. Schank’s view is that “Storytelling and understanding are functionally the same thing” (24). This is true on a very local scale and a very global one. Narrative is now held to be “a major tool for sense-making” (Herman, 15). On a local scale, we encode knowledge as scripts and then bundle those scripts together into schemas. Those schemas help to orient us in time and space. The linguists George Lakoff and Mark Johnson

have shown how deeply embedded these schemas are in our cognitive unconscious. Consider one of the most basic human metaphors: the idea that life is a journey and that our movement through it can be impeded by various blockages. This metaphor can be broken down into many smaller parts, all of which can be traced back to the ways our bodies are oriented in space. So for example we talk all the time about how purposes are destinations in front of us; action is self-propelled motion; purposeful action is self-propelled motion to a destination. This metaphor structures many common daily expressions such as “I’ve got to get going on this project” or “I’ve run out of gas”; “we’re moving ahead” or “we’ve come a long way” (Lakoff and Johnson 190–91). The life-as-a-journey metaphor also structures a huge number of canonical stories, such as John Bunyan’s *Pilgrim’s Progress* (1678). Writers of narrative are able to count on our having an enormous catalogue of such schemas to draw on without realizing it. Readers quickly and easily draw on relevant inferences and ignore irrelevant ones, a process that has been the topic of decades of fruitful research into the heuristics of reading (Gerrig and Egidi, 41, 44).

COGNITIVE UNDERPINNINGS OF THE NOVEL: THREE HYPOTHESES

The novel developed fitfully in the wake of an information revolution in Europe in the later seventeenth century. For decades, the novel competed in the literary marketplace with other sources of information, such as newspapers and scandal sheets (see JOURNALISM). Eventually the novel grew respectable as authors made claims about its moral and psychological benefits. Cognitive theory has now begun to confirm that the psychological benefits and moral benefits touted by such authors as Henry Fielding

and Samuel Richardson were essentially correct. Global hypotheses about the cognitive underpinnings of narrative are multiplying rapidly. I will single out three that bear directly on the novel.

The first hypothesis is that narrative is a means of strategy testing and behavior prediction. Narrative allows its listeners to simulate scenarios that may be factual or counterfactual but which orient themselves to the sorts of puzzles that the person hearing it might face. “By trying out a succession of stories on a particular situation and seeing which of them most credibly generate and fit with the observed facts, narratives function as testable hypotheses in heuristic thought experiments. In these and other ways, narrative helps us orient ourselves as agents in a complex natural and social world and make our experience meaningful” (Steen, 88).

According to one prominent model, strategy testing depends on a capacity known as “Theory of Mind” (ToM). In this account, Theory of Mind is the ability to recognize that other people hold beliefs that may be different from your own and which may or may not accurately track an independent state of affairs. Theory of Mind underlies the human capacity for learning language, for pretense, for storytelling, for understanding counterfactual scenarios, for knowing when someone is being ironic, and for keeping track of the vast web of social connections in which we live. Many, perhaps most, narrative effects depend on this capacity, sometimes quite intensely. Lisa Zunshine has shown, for example, that writers generally considered experimental or difficult put much greater stress on our mind-reading capacities than writers of popular romances or airport thrillers. Experimental writers require that we stretch our ability to remember levels of intentionality far beyond the limit where it is cognitively comfortable for us to do so. Theory of Mind also underlies, arguably, our ability to

empathize with characters in stories. According to one school of thought, empathizing with characters is no different from empathizing with real people. In both cases, we run a simulator in our own minds of the feelings that seem to be going through the minds of another person—and it makes little difference to our own simulator whether that person is actual or fictional. What is different between the fictional and the nonfictional cases are the prompts that get us to start and stop the simulator. Different, too, are the sorts of pro-social actions we take as a result of our empathizing. Suzanne Keen has recently demonstrated that the widespread belief that reading fiction makes people more altruistic is simply false, although reading fiction does make people more empathic. Keith Oatley has explicitly tested this hypothesis and found that “fiction readers had substantially greater empathy . . . than people who read predominantly non-fiction.” Fiction hijacks the brain circuitry that we use to navigate the social world. Oatley writes: “In our daily lives we use mental models to work out the possible outcomes of actions we take as we pursue our goals. Fiction is written in a way that encourages us to identify with at least some of the characters, so when we read a story, we suspend our own goals and insert those of a protagonist into our planning processors. The story tells us what actions are taken.” He says that fiction is a social “simulation that runs on the software of our minds,” akin to a flight simulator (42–43).

The second hypothesis is that narrative supports a variety of world-making practices, or in Donald’s phrase, is “aimed at the deliberate refinement and elaboration of mental models and worldviews” (4). This aspect of narrative has played an outsized role in the history and theory of the novel. The novel has seemed to many critics to have a special purchase on shaping social norms and inculcating IDEOLOGY. They view

the novel as an especially effective tool for inculcating such values as chastity, obedience, marriage-mindedness, and so on. But this norm-setting view does not have to depend on the mind as a blank slate. The novel’s normative elements have been taken as evidence for the blank-slate school of thought. The shaping pressure of narrative can mold people to the expectations of the world by helping them form a correct image of what other people want.

The third broad hypothesis is that narrative is crucial for monitoring cooperation, perhaps the most important aspect of human sociability. This view has been worked out most fully by William Flesch. Humans are almost unique in the depth and spread of our need to cooperate with each other. But cooperating is enormously psychologically costly. Hence the temptation to cheat is enormous. Deceit, hypocrisy, free-riding, and cheating are all ways of defecting that are extremely costly to other people. Narrative plays a crucial role in monitoring whether other people are cooperating. Storytellers track the moral compass of other people and we often richly reward them for doing so. They do so by raising our passions—especially our sense of outrage over cheats, bullies, and upstarts and our sympathy for their victims. But in so doing, they perform a crucial service, namely tracking and monitoring other people’s tendency to defect. The novel more or less explicitly began as a device for rooting out hypocrisy (see, e.g., Henry Fielding’s *Joseph Andrews*, 1742 or *Tom Jones*, 1749). In its modern iterations, the novel often seems to play out those themes in a skewed or sophisticated way (see Ian McEwan’s novel *Atonement*, 2001).

CONCLUSION

Cognitive theory of the novel is a field still in its infancy. Its parameters are changing all

the time. But what can be said about it now is that it is committed in principle to narrative universals and their underlying substrate. The issues are being taken up by a large and growing group of scholars including David Herman, Joanna Gavins, Mark Turner, Gilles Fauconier, Ruven Tsur, Patrick Colm Hogan, Lisa Zunshine, Joseph Carroll, Brian Boyd, Dennis Dutton, William Flesch, and many others.

BIBLIOGRAPHY

- Donald, M. (2006), "Art and Cognitive Evolution," in *Artful Mind*, ed. M. Turner.
- Flesch, W. (2007), *Comeuppance*.
- Gerrig, R. and G. Egidio (2003), "Cognitive Psychological Foundations of Narrative Experiences," in D. Herman, *Narrative Theory and the Cognitive Sciences*.
- Herman, D. (2003), "Introduction," in *Narrative Theory and the Cognitive Sciences*.
- Keen, S. (2007), *Empathy and the Novel*.
- Lakoff, G. and M. Johnson (1999), *Philosophy in the Flesh*.
- Oatley, K. (2008), "The Science of Fiction," *New Scientist*, 25 June.
- Schank, R. (1995), *Tell Me A Story*.
- Steen, F. (2005), "The Paradox of Narrative Thinking," *Journal of Cultural and Evolutionary Psychology* 3(1): 87–105.
- Tomasello, M. and J. Call (1997), *Primate Cognition*.
- Zunshine, L. (2006), *Why We Read Fiction*.

Colonialism see Anthropology; Comparativism; Dialect; France (20th Century); National Literature; Race Theory; Reprints

Comedy and Tragedy

MARGARET DOODY

As literary concepts, the terms "tragedy" and "comedy" arise from a Greek-rooted

Western tradition and cannot be imposed on other traditions. The identification of tragedy in particular is complex, partly because a major philosopher of the fourth century BCE analyzed sets of Greek plays in a brilliantly authoritative fashion. Aristotle saw in serious Greek plays certain common elements which he extrapolated in order to create a category of thought. He gave us focus on plot and character, and terms to distinguish between dramatic representation (the mimetic), and narrative (diegetic). The purpose of this entry is not to elaborate a theoretical definition of tragedy or comedy in the history of literature, nor is it to offer a survey of "tragic" or "comic" novels, Western or non-Western. Indeed, even within the Western tradition, the two modes often converge in the same literary work. Rather, this entry proceeds by drawing upon examples from fiction as well as drama in order to illustrate the iterations, transformations, and implications of tragic or comic modes as they have come to be understood in literary criticism.

COMEDY AND TRAGEDY IN CLASSICAL LITERARY DISCOURSE

Aristotle's ideas regarding tragedy offer one way of framing a consideration of how the novel form, in its great variety and over many centuries, reveals iterations of, and transformations to, the concept of tragedy and its antonym, comedy. Aristotle looked down on plays in which the gravely threatened hero recovers from adversity; these works are not really tragic, such endings arise from the weakness of the audience (see *Poetics* 13:11). In his theory, *anagnorisis* (plotted turns of events and recognition brought about through tokens, etc.) evoke or revise reactions to what modern readers would term the personality of the hero. Aristotle taught us to look at individual

sensibility as the unique premise of dramatic literature. Notoriously, we have lost Aristotle's lectures on "Comedy" (a subject of Umberto Eco's novel *Il Nome della rosa* (1980, *The Name of the Rose*). Literary historians such as Horace (d. 8 BCE) locate the origins of comedy in rural harvest celebrations (*Epistles* 2:1). Aristotle might have agreed with Horace that staged comedy is more difficult to write or act, with less indulgence given it than tragedy. Aristotle is aware that there are kinds of literature not covered by his three main terms: epic, tragedy, comedy. "For we do not have a common name for the mimes of Sophronos and Xenarchon and the Socratic speeches [i.e., Plato's dialogues]" (*Poetics* 1:8, 1447b). But he may have said that comedy treats of low characters whose fate does not affect whole societies, or that incongruities and problems can be resolved in comic dramas, whether absurdly or more naturalistically. We might perhaps also assume that Aristotle would not be too surprised by the development of the prose story and dialogue into the novel—and he might claim that the GENRE was obviously destined to be comic, an outcropping of vulgar comic drama in pedestrian speech, lacking verse, a work of indeterminate if clever moral conversations.

Perhaps the most surprising thing about Aristotle's critique of drama is his determined but apparently casual secularization of it. Like most drama in the world Greek tragedy had its origins in religion. Attic drama was a sacrifice, most particularly to Dionysos at the spring celebration of the Great Dionysia. Plays were mounted only as part of religious festivals. Aristotle removed tragedy from the religious realm to that which we would term "entertainment." But in the nineteenth century Nietzsche, in *Die Geburt der Tragödie aus dem Geiste der Musik* (1872, *The Birth of Tragedy from the Spirit of Music*), indignantly restored tragedy (or his version of it) to its religious and communal

setting and Dionysian contact with the dark sublime. The Nigerian writer Wole Soyinka later came to reinterpret Nietzsche in his *Bacchae of Euripides* (1973), a rewriting of Euripides that blends classical drama with Yoruba theater and rituals of the god Ogun, whom he designates as "elder brother of Dionysos."

Aristotle's secularization points the way to forms of written fiction that would not be rooted in religion, nor attached to folk festivals of seedtime and harvest. In this sense, we might say that he presages the coming form that began to take shape when the conquests of Alexander and the movements of peoples brought about an amalgamation in which North African, Asian, and European styles, topics, and techniques converge. The writers of the earliest surviving results of this fusion that we call the novel are educated in the Greek language and culture, but not themselves Greeks. Of the two great early novelists who wrote in Latin, only one (Petronius) is a true Roman. The others are foreigners: from North Africa, Syria, or Asia Minor. All alike are very clearly aware of the dramatic traditions of tragedy and comedy as these had been devised by the Athenians, just as they are aware of the Homeric epic. They constantly draw upon tragedy, offering references and quotations, and shaping scenes and even whole plots or subplots in relation to tragic conventions or stories. Knemon's story in Heliodorus's *Aithiopika* (*An Ethiopian Romance*) is a comic reworking of Euripides's *Hippolytos*. Tokens and reunions figure, recognitions abound. *Recognitiones*, the title of one of the earliest Christian novels, indicates a shared cultural consciousness of tragedy and of Aristotle's statements about it, even while the Christian and redemptive themes contradict in large measure both Greek tragedy and Aristotelian secularism.

Athenian tragic drama is one of the great developments in world literature, and the

literary forms that have come after, including the novel form, supersede it without rendering it obsolete as a way of thinking about the purposes and effects of literature. Greek tragic dramatists ultimately seem to wish to deal with domestic pain that cannot be domesticated. In Euripides's *Iphigenia in Tauris* the dramatist shows us a rescued Iphigenia, lonely virgin tending a shrine of Artemis dedicated to killing foreigners. Iphigenia's work and deity fill her with dread, even before she has to kill the trespassing Orestes, her own brother. Orestes from time to time breaks into madness, result of the bloody revenge he has meted out to his mother. Everything is iteration or pause. There is a terrible stillness at the heart of this tragedy, like a stone of sacrifice, a MEMORY of sacrificial assault so huge that no human-contrived process seems able to come to terms with it. Yet the dramatist feels called upon to suggest that some (if imperfect) resolution might be found to this pain, that the infernal stasis of memory and iteration cannot and should not endure.

Here we touch on something of great importance that the Western novelists take from the developments of tragedy from Aeschylus to Euripides. Novelists tend to think that personal disasters, even giant catastrophes, can be endured and survived—they hold out the hope that there are mental and emotional as well as social processes that can bring about recovery. This explains the great contempt that Nietzsche felt for novelists as a whole—in his view their works are the vulgar fruit of Apollonian optimism and confidence in reason. He blames their weak, cowardly cheerfulness on the prosy moral brightness of both Aesop and Socrates. The novel is a pleading, submissive, happiness-seeking Chrysothemis in comparison to its stronger uncompromising sister. Tragedy, like an Electra, would not deny that the terrible is

terrible. Aristotle and Freud both had a point in seeing that tragedy centers on personal relations within the family; in other words, that it has an essence that we learned to call “psychological” once Freud used the tragedies to think with. Tragedy's individual center is at once its strength and its weakness. The great catastrophes of the works of Sophocles and Euripides concern the family and the person struggling within it, rather than the suffering of the many—we rapidly lose interest in the plague victims in Thebes as we concentrate on Oedipus and his peculiar parentage (see PSYCHOLOGICAL).

Comedy has its own ways of dealing with the terrible. Arguably, comedy may be better at dealing with widespread disaster than traditional tragedy. The horrors of the Thirty Years' War are not brought out in historical drama like Schiller's grand trilogy *Wallenstein* (1798–1800) but in Grimmelshausen's novel of 1689, *Der abenteuerliche Simplicissimus Teutsch* (*Simplicius Simplicissimus*), a brutally comic work in which the deadpan voice of a puzzled boy is employed to narrate the rape, killing, and mere senseless destruction that accompanies the overrunning of a household and a village by a brutal military. Voltaire picks up this tone in *Candide* (1759) for the fantastic rendition of the unspeakable in his account of European battles, or the cruelties that accompany the takeover of South America.

If medieval Western literature gives a high place to love stories, in China and Japan, love stories likewise take a central role in much literature from the twelfth century. This development is likewise accompanied by an emphasis on and exploration of female characters. Chinese drama never seems quite to acknowledge as a separate entity what Nietzsche would have recognized as “tragedy”: but it does include stories of death and loss. The Yuan period (1271–1368), when the Han were overcome in the Mongol invasion, gives rise to some of

the best of China's drama, written by jobless scholars in poetry for a populace suffering from foreign oppression. A popular variety form of one-act drama with song, folk music, and clowns, called *zaju*, developed into a four-act play with a prologue, a form capable of serious work. Many later forms of Chinese drama, including Beijing opera, descend from Yuan drama, and the first Chinese plays to come to the West are of the Yuan era. Voltaire turned an already translated version of the *zaju* play *Zhaoshi guer* (*The Orphan of the House of Zhao*) by Ji Junxiang (d. 1368?) into his play *L'Orphelin de la Chine* (1755), trans. Arthur Murphy (1727–1805) (1759, *The Orphan of China*). Two centuries later Bertolt Brecht (1898–1956) created his own version of Li Xingfu's *zaju* drama of the early fourteenth century, *Hoei-lan-ki* (*The Chalk Circle*). *The Caucasian Chalk Circle* (first staged in the U.S. in 1948) turned the story into a political fable. The two Yuan plays deal with the difficult possibility of upholding values in cruel and turbulent times. Characters we like may die along the way, but the virtues survive among the people. These motifs would emerge later in Chinese novels, along with comic expressionism, as in novels like *Shuihu zhuan* (*Water Margin*) and *Xiyou ji* (1592, *Journey to the West*). Similarly, many Chinese plays deal with parental cruelty and social restriction, love and separation—what the Greeks would have called *erotika pathemata*. As in Western fiction, love can be an even fatal sickness. Suffering and redemption may be shown in huge, elaborately staged operas like *Mudan Ting* (*The Peony Pavilion* by Tang Xianzu (1550–1616); in this opera a beautiful girl dies for love, but the man she loves, with the help of a portrait, brings her back from the dead. Such a dramatic story, not unlike the contemporary *A Winter's Tale*, belongs to the category that Edward Dowden in *Shakespeare, His Mind and Art* (1875)

invented for William Shakespeare's late plays, i.e., "Romance"—a kind of piece which stubbornly refuses allegiance to the rules of either comedy or tragedy. Probably "Romance" is really the dominant form of modern fictional literature, mimetic, and diegetic. If we think of modern popular mimetic forms—movies, musicals and TV—Romance in this capacious sense dominates, topping some minor stylized epic adventures and the persistent situation comedy.

EARLY-MODERN AND MODERN ARTICULATIONS

The novel is customarily averse to tragedy as a stance and a mode, even as it draws upon the genre as upon a mine of emerald. It is the custom of novels worldwide to conduct their business in a comic mode, even if the story is going to end "unhappily"—i.e., with the death of one or more of the protagonists. It is thus difficult to apply the word "tragedy" to a novel neatly or unproblematically. Samuel Richardson proclaimed that in *Clarissa* (1747–48) he intended more than "a Novel or Romance . . . it is of the Tragic Kind," but the novel proceeds in the comic mode as well.

Among the world's great novels with unhappy endings we may list Murasaki Shikibu's *Genji Monogatari* (eleventh century, *The Tale of Genji*); *Clarissa*; Jean-Jacques Rousseau's *Julie, ou La Nouvelle Héloïse* (1761, *Julie, or, The New Héloïse*); Johann Wolfgang von Goethe's *Die Leiden des jungen Werthers* (1774, *The Sorrows of Young Werther*); Gustave Flaubert's *Madame Bovary* (1857); Leo Tolstoy's *Anna Karenina* (1873–77); and Henry James's *The Wings of the Dove* (1902). The death of women features very largely in those would-be—or could be—tragic novels. Madame Bovary's death seems so greatly desired by her author;

it is hard to say the novel's ending is a matter for sorrow or an object lesson. The era in which the novel became the dominant literary form in Western Europe is noticeably precisely the time at which it became practically impossible to write or produce tragedies involving the fall of tragic heroes. The decline of the classical notion of the tragic hero in modern times presumably was precipitated both by the historical decline of the nobility in status and military power, and the concomitant fading away of revenge, personal or familial, as a governing rule of conduct. Honor underwent a sea-change, and tragedy with it. A new rationalism and confidence in progress became visible in Western Europe, supported by the growing wealth of some in a new era of trade and imperialism. Against this background, the notion of a person of good family and education being subjected to a destiny that he could not control becomes more unpalatable.

If tragedy in the strict sense declined by the eighteenth century (or hid out in opera), comedy came up. Molière, in whom we can find not only great irony but even at times a sort of dry despair (as in *Dom Juan*, 1665), is never tragic. He was followed in England by the Restoration comic playwrights. New comedies involved persons of the lower aristocracy and the wealthy middle class. They exhibited the world of display, of getting and spending—matters attractive to the Venetian comic dramatist Carlo Goldoni in mid-century, though Goldoni is attracted by the lower middle class as much as by the well-off. In England women began to write comedies for the public stage as Susanna Centlivre did, democratically picking up the characteristic traits and habits of contemporary middle and lower-middle-class life in such plays as *A Bold Stroke for a Wife* (one scene of this play of 1718, set in a coffeehouse, gives us stock calling and stockjobbing.)

The same period in Japan sees the rise of Kabuki theater, one of the world's greatest theatrical inventions. Kabuki comes from the low end of popular culture; it incorporates "low" characters like prostitutes and lower-class merchants. Lively productions involved colorful costumes and music. It is remarkable how Kabuki can take hold of classic tragic themes, fitted to a period of noble rule, and adapt them, as the dramatist does in *Sukeroku Flower of Edo* (1718). Sukeroku, a lonely revenger, is aided by a loyal courtesan; his revenge is worked out satisfactorily, and yet everything remains within a comic frame. The comedy feels at liberty to deal with themes traditionally grand or tragic without insulting them; the play certainly does not simply mock the feelings or frustrations of its central characters. Rather, the comic mode has overtaken and swallowed the tragic—it incorporates the tragic. Kabuki seems one of the most democratic forms of theater ever invented. The reestablishment in modern times of the tragic in Japanese literature has been accomplished in the novels of Yukio Mishima, who summons tragic themes and tones in his tetralogy *Hōjō no Umi* (1966–71, *The Sea of Fertility*). The author punctuated his story with a full stop in his dramatic suicide in 1970. Yet his long narrative is supersensitive to the Proustian pleasures and nuances of telling a story and getting into a character's mind. Mishima, who desired tragedy not just on paper, may be seen as retorting to Kabuki's treatment of nobility, revenge, lost hopes, and suicide. Mishima's hero incorporates a national trauma and a concomitant sense of loss and insult. Yet Japan's most widely known cultural response to the shock of the end of WWII and the horror of Hiroshima and Nagasaki is—notoriously—Godzilla. That great monster has tramped his way through countless cities, and been overcome countless times. It is humbling to consider that

the works of greatest efficacy to grapple with horror may have nothing to do with grand, self-conscious tragedy, and that as Aristophanes once saw, only the fantastic (co-opting folk tale and legend) can do the job.

COMEDY, TRAGEDY, AND THE NOVEL GENRE

The novel is, of course, above all a written work—not primarily recited nor performed. It is lengthy, and in prose, so it cannot be memorized and carried about in the head. There is no scene save “the mind’s eye.” It requires versatility in an author, and confidence. In part, the versatility is an effect born of a certain cunning showing off, a borrowing of phrases and even situations from other works, a reference back and forth, flitting from epic to tragic play to lyric. The novel allows the narrative to create a hash, like the *satira* of satire—if not necessarily with satiric intent (see PARODY). We may delight in a sudden unexpected relation or collision of Sappho and Sophocles. No other genres are sacred. This is just as true of literature at a great geographic and historical remove from the Greek cultural world. Think of *Shitou ji* (*The Story of the Stone*) by Cao Xueqin (ca.1715–ca. 1763), the Chinese classic novel of the Manchu era. Confucian lore and advice is brought in only to be defied, traditional lyric mingles with tragic and comic opera in cascades of literary reference. Not only do the central characters read poetry, they are poets, and all of literature is culled to give us a sense of the inwardness and complexity of the central personages. There is a religious meaning to *Shitou ji*, but it is neither obvious nor narrow, and one can get to it only by going through a number of modes, moralities, and literary devices and desires.

Novels of all sorts make constant reference to tragedy. Yet, however respectful

such reference may be, there is often a certain ironic content. Goethe once wrote a critique of Alessandro Manzoni as too respectful of the past in trying to recreate archaic feelings and motives. Goethe holds that the great Greek writers of epics and of the dramas were employing anachronism. Accepting the truth in Goethe’s remarks, we can see that when a novelist refers directly or indirectly to the characters, themes, and techniques of comedy and (especially) tragedy, he or she is being anachronistic. We may be entertained by the reminder of a valuable but superseded style, a genuine antique to be picked up and put down again, a work to be both treasured and relinquished as insufficient to the needs of modern life. The anachronism of such reference within a novel adds to its own odd charm, but does not necessarily pay substantial tribute to the work referred to. Goethe’s own *Werther* illustrates ironic reference both to epic literature and to modern attempts at tragedy, when the suicidal hero tries to set up his dying scene with the right props, including the text of Emilia Galotti.

In making such references as almost inevitable and inevitably anachronistic the novel exhibits tragedy as at once valuable and superannuated. Heliodorus, in his early Greek novel *Aithiopika* (ca. third century CE, *Ethiopian History*), offers a vision of Odysseus as petulant, sly, and aged. The novel knows it is superseding the epic. Heliodorus does much the same thing with tragedy, mocking his characters for tragic speeches, while they often refer to their lives as scenes on the tragic stage. Heliodorus’s highly wrought and witty novel became extremely important to early modern fiction after its publication in 1534; its effects can be traced in Miguel de Cervantes Saavedra’s *Don Quixote* (1605, 1615) and *Persiles y Sigismunda* (1617), Henry Fielding’s *Tom Jones* (1749), *Clarissa*, and others.

Helioidorus taught modern novelists in the Western European traditions about the fun of sophisticated mixing and questioning of genres. Such almost callous displacement of both epic and tragedy in Helioidorus's novel exemplifies the ways in which "low" forms (conventionally considered) of literature or other arts consistently elbow out or displace "higher" forms. This seems to be a pattern found throughout the world. Of course, at times a popular art like the Chinese Yuan *zaju* comedy will be replaced by a higher, more "educated" art, as *zaju* was displaced by the "marvel plays" and then by the *kingu*, slow and classic, which delighted courtiers and officials. From time to time governments or elite power groups seek to refine taste and escape from or counteract popular culture—as when the wealthy and titled brought in the Italian opera to London in the eighteenth century. In the general pattern of aesthetic history, however, what was once "low" can and will displace the "high." However respectful the novel pretends to be of its more culturally or intellectually respectable predecessors, it is a saucy usurper or a downright cannibal that feeds on other genres.

When psychological characterization is not enough, the novel's relation to tragedy practically ceases to operate. Novelistic narrative turns then to the fantastic. There are some public and huge calamities which, as we have seen, will not fit into the tragic mould any more than into domestic or situation comedy. In these instances the novelist finds a resort in the fantastic, more like Aristophanes or the cinematic devisers of Godzilla. The story that Apuleius tells in his *Metamorphoses* or *Asinus aureus* (second century CE) is not a comedy like the simple ass-story in *Onos*. Certainly it is not a tragedy—it even seems to promise, if ironically, a happy ending on a spiritual plane. It expresses, I think, the deeply problematic nature of living under a foreign empire. What might be called the "magical

realism" of Apuleius's sort seems to be the mode of choice for dealing with general political catastrophe and cultural takeover—as it is in Gabriel García Márquez's *Cien Años de soledad* (1967, *One Hundred Years of Solitude*). A recent Chinese novel, Mo Yan's *Shengsi pilao* (2006, *Life and Death are Wearing Me Out*) deals with the hideous events of the Great Leap Forward and its aftermath through use of metempsychosis and metamorphoses, borrowing overtly from Apuleius as from Chinese fiction (including the classic *Xiyou ji*). The comedy is not comedy of manners or familial drama, but energetically surreal. Comedy returns to the absurd triumph of physical survival in a crazy world.

Over the years and across cultures, then, novels have ingeniously created new forms of themselves; novels have dealt in forms of science fiction from earliest times, and also developed the art of description, the ekphrasis, almost out of recognition. In the eighteenth century the new form above all was the GOTHIC novel, which brings in the Dionysian, willful, violent material censored out by optimism and regulation. Gothic fiction permits doubt and darkness, violence and despair—if sometimes to the point of self-parody. The gothic novel feeds into novels not ostensibly gothic, bringing its secret stash of tragic material with it, as the death of the villain-hero of M. G. Lewis's *The Monk* (1796) feeds into the death of Quilp near the end of Charles Dickens's *The Old Curiosity Shop* (1840–41). Defying neoclassicism and a reinvented Aristotle, the new literature could go in for bloodshed, excess, and unjust suffering. The death of Little Nell in *The Old Curiosity Shop* is often decried—especially by those who have not read the book. There is no deathbed scene (unlike the bad TV dramatization). The real tragedy is the story of the gambling-addicted grandfather who has unwillingly

killed the thing he loves. But unlike a traditional tragic hero this old man (who is never given a real name) gains no insight, he has not wit enough left to recognize his flaw. As a novel with an “unhappy ending” *The Old Curiosity Shop* has a real affinity with *King Lear*, but, curiously, cannot qualify as a tragedy—it doesn’t want to. Instead, it brings to our attention the demonic and fantastic energies of the world. Here we have Dionysian fantasy unregulated by tragedy. Honoré de Balzac’s *Le Père Goriot* (1835, *Father Goriot*) is a rewriting of the *King Lear* story, with a new class setting. The bossy old father dying in a suburban lower middle-class boarding house, mistreated by his social-climbing daughters, is not grand like Lear on the heath. Balzac wants to make us see if we can care for this suffering in someone who is neither a king nor kingly, and a world in which the struggle is not for grand power but for the power there is in money. Shakespeare’s *King Lear* is at once restored and demystified.

Late twentieth- and twenty-first-century uses of tragedy, as in Samuel Beckett’s *En attendant Godot* (1953, *Waiting for Godot*) seem to tend toward the exhibition of life unfilled, stories of frustration and incompleteness. Violence and bloodshed currently belong more to variants on adventure story. We know that Franz Kafka’s posthumously published *Der Prozeß* (1925, *The Trial*), the story of a man who undergoes strange legal trials and can never show himself innocent, is not at all like a crime drama. Kafka’s story is of Everyman, the slow, trying *process* of each human life, perpetually judged as falling short—and ending inevitably with a death sentence. On another level, it can be said to be the story of alienated populations working in the same space, and the story too of the threat impending over the Jews. To call Kafka’s novel a tragic work would, peculiarly, belittle it—and yet we are

reminded of Tragedy. On a lighter note—yet not too light—Ian McEwan’s *On Chesil Beach* (2007), a story of misunderstanding ending with the separation of hero and heroine after their one evening of marriage, is often described by young readers as “a tragedy.” But this identification is simple-minded. One of the things tragedy can do is make us aware of the part played in life by unalterable acts. Nietzsche is right in seeing that the tragic sense in the Greek plays does call upon us to respect the ineluctable toughness of things. In that respect, McEwan’s novel links us with tragedy, which says that loss is loss, and that some bad things cannot be washed away, though they may be redeemed at some level not yet visible.

SEE ALSO: Ancient Narratives of the West; Definitions of the Novel; Melodrama; Romance

BIBLIOGRAPHY

- Aristotle (2005), *Poetics*, trans. S. Halliwell.
 Brandon, J.R. (1993), *Cambridge Guide to Asian Theatre*.
 Brooks, P. (1995), *Melodramatic Imagination*.
 Esslin, M. (1969, 2001), *Theatre of the Absurd*.
 Fischer-Lichte, E. (2002), *History of European Drama and Theatre*, trans. J. Riley.
 Konstan, D. (2006), *Emotions of the Ancient Greeks*.
 Lessing, G.E. (1982), *Hamburg Dramaturgy*, trans. H. Zimmern.
 Nietzsche, F.W. (1993), *Birth of Tragedy*, ed. M. Tanner, trans. S. Whiteside.
 Soyinka, W. (1976), *Myth, Literature and the African World*.
 Soyinka, W. (2004), *Bacchae of Euripides*, 2nd ed.
 Tang Xianzu (2002), *Peony Pavilion*, trans. with new preface by C. Birch, intro. C. Swatek.
 Worrall, D. (2007), *Harlequin Empire*.

Comic Novel *see* France (18th Century)

Comparativism

KATHLEEN L. KOMAR

Most studies of the novel are comparative. When critics examine a single volume, they usually contextualize it by placing it among other novels of its time, or its NATIONAL literature, or other texts written by the same author. Ian Watt's 1957 study, *The Rise of the Novel*, examines the GENRE and the society that enabled its survival. Watt contextualizes and investigates genre, analyzes and compares individual British texts, and reads the novel in light of the British and continental philosophical traditions of the eighteenth century. All of these are comparative forms of analysis in a general sense.

But comparative analysis can also be used more strategically as a primary purpose and in a way that crosses national and linguistic boundaries. Moving beyond mid-twentieth-century comparative studies that tended to map developments across a number of European and American literary traditions, comparative analysis has more recently adopted a wider vision. Built upon global capital, instant communication, and technological innovation, the twenty-first century is changing the concept of the novel as a genre. Comparative analysis can help critics examine questions that demand a broader geographic, intercultural, temporal, or even intermedia perspective. The specific type of comparative analysis will depend on the kind of comparability that interests the critic. Do the texts share similar themes? Do they evidence similar structural features? Are they written in the same period or in response to the same cultural phenomena? Do they produce differing aesthetic embodiments of similar cultural or historical crises? Are they founded on particular assumptions about genre or the violation of those generic expectations? The first order of business for the comparativist studying the novel must be to define a foundation of comparability on

which to build. As Jonathan Culler argues in his piece "Comparability," the critic must explicitly articulate the assumptions and norms that underpin comparisons to keep them from becoming implicit terms. Culler cites Erich Auerbach's conception of the *Ansatzpunkt* as a model that creates "a specific point of departure, conceived not as an external position of mastery but as a 'handle' or partial vantage point that enables the critic to bring together a variety of cultural objects" (270). As Auerbach puts it in "Philology und Weltliteratur," "The characteristic of a good point of departure is its concreteness and its precision on the one hand, and on the other, its potential for centrifugal radiation" (15). Culler suggests that a theme, metaphor, detail, structural problem, or well-defined cultural function might serve this purpose.

FOUNDATIONS OF COMPARABILITY

A frequent basis of comparison is the examination of texts written in the same historical period but in different locations and cultural contexts. In such a study, the critic explores the kinds of interplay that take place both among the chosen texts and between each text and its specific context. Michael North's *Reading 1922* (1999) and Theodore Ziolkowski's *Dimensions of the Modern Novel* (1969) exemplify this kind of comparison. Whether choosing a limited period or a more expansive interval, scholars can ask questions about the relationships of the literary texts to the philosophy, popular culture, technology, and historical events of that period as well as examine how various cultural developments travel across national and linguistic boundaries. How is a newly developing cinema incorporated into the fabric of literary texts in different cultures, for example? How do scientific

developments such as relativity, the uncertainty principle, or PSYCHOANALYTIC theory contribute to different literary structures or themes? And do these cultural developments interact differently with novels in different nations or languages? Another example of this kind of comparative study is Ross Shideler's *Questioning the Father* (1999), which contemplates the repercussions of the theories of Charles Darwin (1809–82) on writers in France, Scandinavia, and England in the late nineteenth century. In each of these comparative analyses, temporal proximity provides a common historical context for the texts under examination. Given this foundation of contextual similarities among texts, the reader can more readily perceive and analyze those differences in them that mark cultural or linguistic specificity. Another comparative strategy examines texts from different historical periods that reenvision themes, characters, or plots across TIME. Clayton Koelb's *Legendary Figures* (1998) analyzes texts by Gustave Flaubert, Walter Pater, Thomas Mann, Hermann Broch, and Thornton Wilder against the legends from which the modern novels spring. Katherine Callen King's *Achilles* (1991) and Kathleen L. Komar's *Reclaiming Klytemnestra* (2003) examine later literary incarnations of characters from ancient Greece to determine how archetypal characters come to embody different values as cultural contexts change (see MYTHOLOGY). In this kind of comparative investigation, shifts in cultural values such as heroism, aggressiveness, domination, and gender hierarchies can be traced and interrogated.

GLOBAL COMPARATIVISM

In addition to mapping out a development across time, comparativists also track ideas or themes across geographical distances and

national boundaries (see PLACE). Following the themes and issues of Romanticism through the commerce in ideas between Germany, England, France, and Russia, for example, reveals a lively cultural exchange in which questions of individual identity, the interplay between spirit and matter, transcendence and damnation, and reality and the absurd all recur. A combination of both temporal and geographic comparison can yield particularly enlightening results. David Damrosch's *What Is World Literature?* ranges across continents from the Old World to the New and moves through periods from ancient times to the postmodern. This broad sweep allows Damrosch both to compare specific texts and to conceptualize how texts circulate and constantly change the culture from which they arise and the culture into which they are translated.

Another variety of this combined temporal and geographical comparative work occurs in studies that examine colonial assumptions in novels of the colonizer and the colonized or that compare colonial to post-colonial novels and cultures. One might think of Edward Said's *Culture and Imperialism*, Aamir Mufti's *Enlightenment in the Colony* (2007), and Olakunle George's *Relocating Agency* (2003) in this regard. Such comparative analysis allows the critic to examine literary texts from different cultural, political, and ethnic perspectives. In the late twentieth and early twenty-first centuries, comparative analyses have helped readers to understand the biases of history and literature written from the point of view of the politically dominant, making the perspective of the non-European writer visible in Euro-American literary studies. These comparisons helped to build the field of subaltern studies, which examines history and literature from the perspective of the colonized rather than the hegemonic power structure. Subaltern studies began in the 1980s in the field of South Asian studies

where scholars examined the role played by subordinate groups, such as the peasantry or the urban lower classes, in resisting British rule. Italian MARXIST critic Antonio Gramsci used this term in his “Notes on Italian History,” in which he suggests studying the relationship of such groups to one another and to the dominant political group. It is now used more generally in postcolonial studies to underline the importance of subaltern groups during the colonial and postcolonial eras. Gayatri Spivak’s *In Other Worlds* is an important comparative contribution in this field. Her study looks at both poetic and narrative texts by Western and non-Western writers while examining the relationship of women to “high culture.”

An even more expansive comparison across geographic and cultural boundaries not necessarily related by colonial history has occurred in recent years. Scholars have analyzed texts from the Euro-American context against those written in East Asia or Africa, and compared texts written in North and South America. Haun Saussy’s *The Problem of a Chinese Aesthetic* (1993), for example, investigates concepts of Chinese literary tradition by comparing them to European thinkers such as Gottfried Wilhelm Leibniz (1646–1716) and Georg Wilhelm Friedrich Hegel (1770–1831) to sharpen and deepen the reader’s understanding of both traditions. Scholars, such as Pauline Yu in *The Reading of Imagery in the Chinese Poetic Tradition* (1987), caution that critics must be particularly attentive to the genuine differences in cultures compared in this way, but much is to be gained by thinking about different cultural traditions in comparison to one another. This type of comparative analysis has helped move Euro-American literary research into a broader arena in which the traditions of Eurocentrism meet and interact with literature from Asia, Latin America, the Caribbean, the Middle East, and Africa. Comparative approaches to the novel thus

become truly global in scope and help to raise awareness not only of commonalities but also of cultural specificities that may lead to a different understanding of concepts such as the individual and the community.

Such studies also allow critics to analyze the interactions that occur when colonization moves from the political to the economic arena. How does an outside audience’s demand for “the exotic” or for “the traditional” or for “the genuine” change how novelists in search of a broader readership write? Should one write in one’s own language, which might have a few million speakers, or in English or French so as to have access to scores of millions of readers? How does the targeted audience affect the tone or point of view or RHETORIC of a particular novel (see NARRATIVE PERSPECTIVE)? How do African or Latin American novels written for an indigenous audience differ from those written to be published and consumed abroad? All of these are questions that require a comparative methodology.

COMPARATIVISM, GENRE, AND FORM

Issues of genre present another way to conceptualize comparative analysis. A critic might examine which features constitute a particular kind of novel. For example, Ralph Freedman’s *The Lyrical Novel* (1963) examines novels by Hermann Hesse, Virginia Woolf, and André Gide to identify common characteristics that determine this subgenre, which incorporates features often ascribed to poetry within the novel. Considerations of genre might also lead critics to contemplate structure in a comparative way. Eberhard Lämmert’s *Bauformen des Erzählens* (1955, *Types of Narrative*), Franz Stanzel’s *Typische Formen des Romans* (1965, *Typical Forms of the Novel*), and Culler’s *Structuralist Poetics* (1975) all

consider broad issues of structure across literary texts. Such studies investigate the recurrence of particular structural configurations across national lines but also trace the evolution of structures across time. Along with structure, critics examine NARRATIVE TECHNIQUE and forms. What Austin Warren and René Wellek or Northrop Frye might call “modes of narrative fiction” are categories and models established by critics comparing novels over broad stretches of history and geography. By examining many novels comparatively, scholars discern recurrent narrative patterns and changes in those patterns over time. They also map how such changes move across national and linguistic boundaries. Critics have examined character and plot using the same comparative methodology. In *Reading for the Plot* (1984), Peter Brooks reads across French and British literature, as well as across literature and psychoanalysis, to trace the mechanisms and forms that keep readers moving through a narrative. Narratology, the study of narrative and NARRATIVE STRUCTURE that owes much to French STRUCTURALISM and Russian FORMALISM, is inherently comparative in its analytic strategy.

Along with plot, character, technique, and structure come issues of language and how it is used in the novel. Cutting a wide swath across European and American fiction, Wayne Booth's *The Rhetoric of Fiction* argues that all fiction is inherently rhetoric. The novelist presents his or her vision to the reader by using language to persuade readers of the validity of the fictional world. Booth examines how such language functions and discusses the uses of narrative voice, unreliable narrators, implied authors, and other concepts that have come to be staples in discussion of novels. He does this by comparing texts from many different cultures, which use these rhetorical techniques to condition readers to understand the novel and its characters from a particular

point of view. Looking at novels against one another allows Booth to make fine distinctions among similar uses of authorial voice and perspective.

RECENT DEVELOPMENTS IN COMPARATIVISM

Comparative issues of TRANSLATION come to the fore when reading an original novel and examining its migration into another language and culture. The act as well as the theory of translation has become a central focus for comparativists in recent years. How does a translator convey an untranslatable phrase in a target language that uses differing idioms? Is it more crucial to preserve specific language or general meaning? How much discretion does a translator have in re-creating a novel in a new language? How is translation itself an act of comparative criticism and analysis? How do translators who are themselves novelists use translation to develop their own creative work? Questions such as these are examined in a number of comparative studies. In *Invisible Work* (2002), Efraín Kristal analyzes Jorge Luis Borges as a translator who believes that transformation is a crucial part of his work. Borges's translations of Franz Kafka, for example, evidence a number of changes from the original, which Kristal uses to help readers better understand both Borges and Kafka. Lawrence Venuti's *The Scandals of Translation* (1998) and the collection of essays *Nation, Language and the Ethics of Translation* (2005), edited by Sandra Bermann and Michael Wood, take a broad and insightful look at the many comparative issues that translation raises and the ways in which it challenges notions of national and cultural boundaries.

Comparative analysis also contributes to GENDER research in studies of the novel by allowing critics to examine issues of gender

that run across national boundaries. Novelistic techniques or forms commonly employed by women, depictions of the position of women in society, and socially prescribed interactions of men and women in ritual or legal circumstances come into view through comparative analysis. Studies such as *The Female Autograph* (1987), edited by Domna C. Stanton, *Reconfigured Spheres* (1984), edited by Margaret Higonnet and Joan Templeton, and *Gender and Genre in Literature* (1991), edited by Janice Morgan and Colette T. Hall, can serve as representative examples of comparative studies that use gender as a critical focus.

The list of comparative approaches to the study of the novel could be multiplied further by including, for example, analyses of novels that share a particular theme or central problem. But this discussion should perhaps close with a view toward the future of comparative work on the novel. A recent development in comparative studies examines the novel in the context of film and other media (see ADAPTATION). Linda Rugg's *Picturing Ourselves* (1997) and Nancy Armstrong's *Fiction in the Age of Photography* (1999) both use photography to gain insight into narrative texts. The emergence of hypertext novels and the relationship of novels to cyberspace and to digital media in general have introduced new comparative models. Among the leading critics in this new arena as well as in the field of electronic literature in general is N. Katherine Hayles. Her *How We Became Posthuman* (1999), *Writing Machines* (2002), *My Mother Was a Computer* (2005), and *Electronic Literature* (2008) are major theoretical explorations of literature in a digital age. Her examination of the changing materiality of novels as they move from codex, or printed texts to digital screens, marks a movement to understand literature not just in its historical, cultural, and linguistic contexts, but also in its technological and material

contexts. This may well be a branch of comparative study of the novel that will flourish in the new century.

SEE ALSO: Dialect, Editing, Feminist Theory, Intertextuality, Regional Novel, Story/Discourse.

BIBLIOGRAPHY

- Auerbach, A. (1969), "Philology and Weltliteratur," trans. M. and E. Said, *Centennial Review* 13 (1):8–9.
- Booth, W. (1961), *Rhetoric of Fiction*.
- Culler, J. (1995), "Comparability," *World Literature Today* 69(2):267–70.
- Damrosch, D. (2003), *What Is World Literature?*
- Frye, N. (1957), *Anatomy of Criticism*.
- Gramsci, A. (1971), "Notes on Italian History," in *Selections from the Prison Notebooks of Antonio Gramsci*, trans. and ed. Q. Hoare and G. Nowell-Smith.
- Said, E. (1993), *Culture and Imperialism*.
- Spivak, G.C. (1987), *In Other Worlds*.
- Watt, I. (1957), *Rise of the Novel*.
- Wellek, R. and A. Warren (1942), *Theory of Literature*.

Confession see Life Writing

Conte philosophique see Philosophical Novel

Copyright/Libel

SHAFQUAT TOWHEED

The concept of copyright, like the prose novel in codex form, was unknown in the era of manuscripts; both were directly shaped by the introduction of movable type (see TYPOGRAPHY). The concept of libel, on the other hand, long predates printing, with Sumerian, Greek, and Roman law all recognizing it as a punishable offence. The author-privilege system (first granted in a range of European city-states, starting with

Venice, from 1469) and the French book-privilege system (1498–1526) are examples of legal protection at the behest of the state or of printers to maintain a commercial monopoly and political CENSORSHIP, predating the institution of formal copyright, and emerging within the first decades of printing (Rose, 10; Armstrong, 2–3). Initially, copyright was mediated through a printers' guild operating with the approval of the state; in England this monopoly was held with the Stationers' Company from 1557, when Queen Mary issued a Royal Charter aimed specifically at suppressing heretical and seditious material (copyright evolved in the light of both censorship and libel). The Stationers' Company continued to hold this monopoly (as a trade protection) until the outbreak of the Civil War in 1640. This was replaced by the Licensing Act (1662–95), which required the registration of all works *before* publication in order to receive legal protection; the Act was specifically aimed at suppressing libel, i.e., the printing of “seditious, treasonable and unlicensed books and pamphlets,” and to facilitate the state's political, moral, and economic control over print (http://www.copyright-history.org: record, U.K._1622). In 1695, the Licensing Act expired after repeated attempts to renew it failed, and the legal protection of books (and with it, official state censorship) was effectively at an end. From 1695 until the passage of the 1710 Statute of Anne—the world's first copyright act—printing in England was effectively unregulated (see PUBLISHING).

Daniel Defoe, frequently considered to be the father of the English novel, and the first professional author to earn over £1,000 in a year from his writing, made the transition from pamphleteer to novelist in this period of upheaval; his 1704 “Essay on the Press” made an eloquent case for the right of authors to own (and protect) their works from unauthorized reproduction

(http://www.copyright-history.org: record, U.K._1704). In fact, in the six years between Defoe's tract and the passage of the Statute of Anne, not a single case to stop press-piracy (Defoe's term for what would later be called copyright violation) was brought before the common law courts (Deazley, 1971, 161–62). The initiation of a formal system of copyright protection, whether couched in terms of an author privilege, a trade practice to protect printers' monopolies, a means of spreading learning, suppressing seditious libel, or as a form of censorship, often had little immediate benefit for authors; despite the 1710 Act, Defoe died as he had lived, in debt and evading his creditors.

In England as in almost every country, the rise of copyright law was bound up with the need to suppress dissent, either in the form of seditious libel (directed against the state), or criminal libel (constituting a breach of the peace); this link between the laws for libel and copyright remained until well into the twentieth century. Before the Statute of Anne, the protection of literary content was predicated by monopolies in printing and the political needs of the state, *not* the recognition of authors' rights; the Statute specifically championed the spread of education as its goal—it was titled “An Act for the Encouragement of Learning”—and consideration of authors' rights was secondary. “An Act for the Encouragement of Learning,” effective from 10 April 1710, offered authors a protection of fourteen years from first publication, followed by another fourteen years if they were still alive, but did not explicitly provide posthumous rights for an estate, or determine whether copyright existed as a common-law right in perpetuity. This anomalous situation continued until the landmark ruling of *Donaldson v. Beckett* (1774), which ruled that perpetual copyright (as a “common-law” right) did not exist (Deazley, 2004, 191–212). This

had dramatic implications for book production, especially for cheap editions of popular novels; Defoe's *Robinson Crusoe* (1719–22) sold more copies in the five years after 1774 than in the previous fifty-five (St. Clair, 8). Publishers exploited a lengthy and illustrious backlist of non-copyright material to produce cheap editions of fiction. Novel reading as a popular pursuit in the Romantic period (1790–1830) was a direct consequence of the removal of perpetual copyright. Successive copyright laws in Britain (1814, 1838, 1842, 1886, and 1911) extended periods of copyright protection and expanded its reach. The rise of the novelist as a professional (and profitable) occupation is inseparable from the development of copyright law (see AUTHORSHIP).

COPYRIGHT REGIMES, MONOPOLIES, INFRINGEMENTS

The underlying premise behind each state's support of authorial copyright was their position on monopolies vs. free trade, the requirements of censorship, and the need to diffuse cheap print to spread learning. In Tsarist Russia, copyright law ("The Regulation of 1857 relating to the Censorship of the Press") maintained its original close relationship to the law against seditious libel and was used as a form of political repression, rather than to prevent the translation and dissemination of cheap foreign fiction (or cheap REPRINTS) seen as aiding education (Towheed, 174); in the U.S., it was protectionist, designed to promote the rights of American manufacturers at the expense of authors, whether American or foreign (Homestead, 80–83). British copyright law in the nineteenth century was reformed through relentless petitioning, often by novelists such as Charles Dickens, leading up to the 1842 Act (Seville, 1999, 184–85), while in France, which since 1791 had

maintained a far higher recognition of authorial rights (*droit d'auteur*) than any other country, offered through the 1852 Act unilateral protection to writers of all foreign works, regardless of whether those countries reciprocated (Seville, 2006, 56–57). The idealistic and principled French position eventually led to the first international copyright agreement, the Berne Convention (1886, effective 5 Dec. 1887), which for the first time offered authors copyright protection in all signatory countries (the U.S. finally joined in 1986).

The systematic exploitation of the insufficiencies in different national copyright jurisdictions by printers and publishers worked in several distinct ways. First, offshore publishers played a disproportionately influential (and highly profitable) role in supplying key markets with cheap, unauthorized editions, creating and meeting a need for such works. Examples include Holland and pre-1800 Ireland in relation to Britain, and Switzerland and Belgium in relation to pre- and post-revolutionary France, respectively. Secondly, publishers drew upon the vast body of work published in other countries with whom they did not have reciprocal copyright agreements to supply the burgeoning need for cheap books in their own domestic markets, without having to pay royalties to authors (the first, and often most expensive step in the value chain). This practice was best epitomized by the industrial scale of unauthorized printing of British writing, particularly novels, in the U.S. prior to the passage of the first Anglo-American Copyright Act on 1 July 1891. Plates of the most popular novels, such as Mrs. Humphry Ward's *Robert Elsmere* (1888), were sold, leased, or reused until they fell apart; the cheapest reprints, some selling for as little as a cent, were often almost unreadable. Finally, publishers in nearly every country exploited the relative lack of copyright protection of

works translated from (or into) other languages. British law did not comprehensively protect TRANSLATIONS from other languages into English until the 1911 Copyright Act, when translations were given the same protection as other publications (life plus fifty years); in contrast, India's 1914 Copyright Act offered translations a mere ten years' protection for work first published in India, after which if no authorized translation had taken place, anyone was allowed to translate the original text from English into any Indian language without restriction (Bently, 1181–82). The Indian Act was clearly aimed to encourage vernacular education through the rapid translation of British books (including novels) into Indian languages.

The lack of comprehensive bilateral or multilateral copyright agreements between competing nation-states had a profound effect on the publication, distribution, and consumption of fiction in the long nineteenth century, and unsurprisingly, novelists were amongst the foremost campaigners for the harmonization of their rights. Honoré de Balzac, in his 1834 open letter to authors (http://www.copyrighthistory.org/record:f_1834) appealing to the Romantic concept of the originality of artistic genius, complained bitterly of the inadequacy of existing copyright protection, Dickens actively agitated for an Anglo-American copyright law, Mark Twain bemoaned his lack of rights (and loss of earnings) in Britain, while Harriet Beecher Stowe tried (and failed) to stop the unauthorized publication of *Uncle Tom's Cabin* (1852) in German translation. One of the reasons why Stowe's novel became an instant bestseller in Europe was because the text was not protected by copyright law; dozens of unauthorized editions appeared, with over 1.5 million copies printed in Britain in the first weeks alone, none of which earned the author any royalties.

LIBEL AND THE NOVEL

While libel followed writing and preceded print and the novel by many centuries, as with copyright law, it was only in the eighteenth century that libel laws institutionalized the fictive nature of the novel GENRE. Legislative changes such as Fox's Libel Act (1792), with its insistence on jury trials for libel prosecutions (and thereby a public consideration of the "fictional" quality of the novel), and the revival of the formulation of "blasphemous libel" (Marsh, 227–28), were designed to suppress radical and seditious printing and enforce differentiation between narratives that were "too factual," and therefore "ran the risk of being legally actionable," and those that "clearly asserted their fictionality" and were therefore "unharmful" (Davis, 95). In Britain in the Romantic period, libel prosecutions were politically motivated and effectively a form of post-publication censorship (Franta, 144–52). Libel became a subject for novels, such as Anthony Trollope's *Cousin Henry* (1879), or integral to actual libel cases, such as James Fenimore Cooper's thinly fictionalized accusation of libel directed at the upstate New York press in *Home as Found* (1838). By the end of the nineteenth century, the rise of the *roman à clef* and the increasing intellectual, sexual, and political audacity of especially French novelists meant that attempts to prescribe publications increasingly invoked "obscene libel," the category under which Henry Vizetelly was prosecuted in 1889 for his translation and publication of Émile Zola's *La Terre* (*The Earth*).

The development of the Modernist novel (see MODERNISM) is inseparable from authorial negotiations of libel law; for Ernest Hemingway, James Joyce, D. H. Lawrence, Wyndham Lewis, and George Orwell,

to name a few, the very real prospect of libelous prosecution shaped the final publication of their novels. The “scandal of libel” in Joyce’s *Ulysses* (1922) “constitutes an explicit part of the plot itself,” and Joyce’s accurate yet elided realist representation of people, business, and events means that the novel is both “blatantly libelous” and “seeks to elude that charge” (Latham 2009, 104). The copyright status and final published texts of both Hemingway’s *A Farewell to Arms* (1929) and Lawrence’s *Women in Love* (1920) were intrinsically shaped by the prospect of prosecution for libel (Glass, 217). Famously confrontational, between 1931 and 1938, Lewis was involved in “at least six direct or threatened actions for libel, almost all of which were lost when nervous editors agreed to settlements” (Latham 2009, 105). Orwell was forced by his publisher to make revisions to *Down and Out in Paris and London* (1933) to evade prosecution; his *Such, Such Were the Joys* was not published in the U.K. until 1968, for the same reasons. Novelists as diverse as John Grisham, Salman Rushdie, and Patricia Cornwell have either been the subject of libel cases for their fiction, or have themselves resorted to libel prosecutions to defend their literary standing (a clear example of a legal formulation of the value of the “author figure”).

As these examples show, libel “does not simply regulate the production of literature” but rather “provides the framework through which a particular piece of writing is presumed to be pure invention and thus without financial, legal, and moral consequences for living individuals” (Latham 2009, 78), a reiterative process of particular aesthetic significance for the novel. As part of “the law of literature” (Barendt, 481), libel constitutes a shaping intervention as important as (though less clearly demarcated than) copyright law.

COPYRIGHT, THE NOVEL AND ITS READERS

Far from being an incidental in the communications circuit, copyright law, like the impact of changing libel laws, has often had a profound impact on what we read, and how we read it. The rise of the literary canon (with the novel as its core) at the end of the nineteenth and beginning of the twentieth centuries was coterminous with the expansion of the domain of both national and international copyright law (and by implication, a specific termination of those authorial rights). Oxford University Press launched the World’s Classics Series (originally started by Grant Richards) in 1906, and J. M. Dent the Everyman’s Library in 1904, largely as a result of the movement of the work of many of the great early and mid-nineteenth-century writers (published before 1862) into the public domain; under the terms of the 1842 Copyright Act, protection lasted for forty-two years after the date of publication, or the life of the author plus seven years (whichever was longer). Readers in an age of mass literacy enjoying the widespread availability of cheap editions were presented with a list of “classic” texts, chosen not just for their literary merit, but also because they were in the public domain; the framing of these texts with freshly commissioned academic introductions was another direct result of not having to pay authorial royalties on the content.

The expansion of bilateral and multilateral copyright protection brought pecuniary rewards for publishers and access benefits for readers. In 1886 Macmillan launched the Colonial Library series, a fiction-heavy list aimed specifically at the Indian and Australian markets, in anticipation of Britain’s signing and ratification that year (for itself, and on behalf of the colonies) of the Berne Convention. Readers in colonial markets

like Australia would now be able to read the latest novel by Thomas Hardy in an authorized edition and sold as a numbered volume in an approved fiction list, rather than having to rely on the vagaries of ad hoc book imports from England (the publisher effectively added to the value chain). On the other hand, the lack of copyright protection could also have remarkable implications for the reading and reception of novels. The lack of any reciprocal agreement between the two largest English-language markets (Britain and the U.S.) until 1891 meant that British novels were public domain in the U.S. (and vice versa); unauthorized cheap editions of new fiction flooded the marketplace, earning their authors little or nothing. Incensed by the situation, Rudyard Kipling deliberately wrote two completely different endings to his 1890 novel, *The Light that Failed*, and allowed the first (happy)-ending text to circulate (and be pirated) widely in the U.S., while holding back the longer (tragic)-ending text in lieu of the passage of the 1891 Act. Readers experienced radically different novels depending on which side of the Atlantic they inhabited.

THE GLOBAL MARKETPLACE

The tendency in the twentieth century was toward the harmonization of copyright jurisdictions (this has gathered pace since 2000, under the direction of the World Intellectual Property Organisation, WIPO). The U.S. (1989), China (1992), and Russia (1995) signed the Berne Convention and joined the World Copyright Treaty (administered by WIPO) in 2002, 2007, and 2009, respectively. This process has had unexpected implications for the novel and its readers. Famously, the European Union's retrospective standardization of copyright protection through Directive 93/98/EEC which came into effect on 1 July 1995 (in the case of the

U.K., extended from fifty to seventy years after the death of the author) returned an entire cohort of writers whose work was already in the public domain back under copyright protection (including Conan Doyle, Joyce, Lawrence, H. G. Wells, Virginia Woolf, and William Butler Yeats), to the delight of their literary estates, but at the cost of new cheap scholarly editions (the World's Classics series was badly hit); this process was mitigated by temporary licensing (McCleery, para. 12). A similar retroactively applied extension from fifty to seventy years followed in the U.S. (the Copyright Term Extension Act, 1998). Academic editing, especially in its digital form, can both challenge the copyright protection of unpublished material (e.g., Joyce's notebooks) and extend it, as in the case of the Cambridge University Press editions of Mark Twain's novels (McCleery, paras. 6, 10).

While copyright and libel law have intrinsically shaped the production and consumption of the novel, and its development is essentially inextricable from the rise of this world-conquering literary form, we need to be alert to the fact that much of the world's literary output (including the novel) has flourished in the spaces before, between, and beyond the domain of copyright and libel law. One of the world's largest markets for the novel, China, only established a Literary Copyright Association for its authors (to administer *collective* copyright) in Oct. 2008. From *samizdat* in the Soviet era, to "book-a-like" in the Philippines, and from block printing in Buddhist monasteries to the phenomenal rise of Google Books, a significant proportion of the world's literary consumption takes place regardless of copyright law and unaffected by charges of libel. The rise of digital media and the increasingly convergent consumption of content *across* different media present new challenges. In the twenty-first century, the novel remains one of the preeminent (and

most profitable) sources of original intellectual content, and the acquisition of intellectual property, which represents the first step in any publisher's value chain, is as vital as ever (Phillips, 48). Indeed, as our patterns of novel-reading and modes of access change, the central question of copyright, an "immaterial ownership" which "may never touch us directly," nonetheless "permeates our everyday existence" (Hemmungs Wirtén, 147). The raging debate between on the one hand, the advocates of the extension of the copyright protection of intellectual property and the rights of authors, and on the other, those supporting the expansion of a "creative commons," an open-access public-domain free-for-all, is set to intensify in the twenty-first century. Once again, the novel, as the most globalized form of literary consumption, will be at its core.

SEE ALSO: Adaptation/Appropriation, Editing, Paper and Print Technology, Translation Theory.

BIBLIOGRAPHY

- Armstrong, C. (1999), *Before Copyright*.
- Barendt, E. (1999), "Defamation and Fiction," in *Law and Literature*, vol. 2, ed. M. Freeman.
- Bently, L. (2007), "Copyright, Translations, and Relations between Britain and India in the Nineteenth and Early Twentieth Centuries," *Chicago-Kent Law Review* 82(3):1181–1240.
- Davis, L.J. (1983), *Factual Fictions*.
- Deazley, R. (2004), *On the Origin of the Right to Copy*.
- Deazley, R. (2006), *Rethinking Copyright*.
- Feather, J. (2006), *History of British Publishing*.
- Franta, A. (2007), *Romanticism and the Rise of the Mass Public*.
- Glass, L. (2007), "#\$%^&*!?" *Modernism/Modernity* 14(2):209–23.
- Hemmungs Wirtén, E. (2004), *No Trespassing*.
- Homestead, M. (2005), *American Women Authors and Literary Property, 1822–1869*.
- Latham, S. (2006), "The 'nameless shamelessness' of *Ulysses*," in *Scandalous Fictions*, ed. J. Morrison and S. Watkins.
- Latham, S. (2009), *Art of Scandal*.
- McCleery, A. (2008), "Dead hands keep a closed book," *Times Higher Education Supplement*, 5 June, <http://www.timeshighereducation.co.uk/>.
- Marsh, J. (1998), *Word Crimes*.
- Parrinder, P., and W. Chernaik (1997), *Textual Monopolies*.
- Phillips, A. (2006), "Where is the value in publishing?," in *Future of the Book in the Digital Age*, ed. B. Cope and A. Phillips.
- Rose, M. (1993), *Authors and Owners*.
- Seville, C. (1999), *Literary Copyright Reform in Early Victorian England*.
- Seville, C. (2006), *Internationalisation of Copyright Law*.
- St Clair, W. (2005), "The Political Economy of Reading," <http://www.trin.cam.ac.uk/index.php?pageid=474>.
- Towheed, S. (2007), "Geneva v. St. Petersburg," *Book History* 10:169–91.

D

Decadent Novel

DEBORAH JENSON

“Part of the problem of defining decadence has to do with the fact that a fully developed movement or school never actually existed,” notes Asti Hustvedt (13). The non-coalescence of decadence as a fin-de-siècle movement is not an accident but an exemplification of its underlying ethos. As Paul Bourget described it in 1883, decadence is the condition of a society when too many individuals resist the work of collective life; the cells of the social organism refuse to subordinate themselves to the whole. The resulting anarchic decline is manifested—and encoded positively—at all levels of the decadent enterprise. It is symbolized by the lone cell or atom working against nature, against the evolutionary success and reproduction of the whole of which it is a part. A decadent style, Bourget notes, is one in which “the unity of the book decomposes to make way for the independence of the page, the page decomposes to make way for the independence of the sentence, and the sentence decomposes to make way for the independence of the word” (25). Yet although the solipsistic and transgressive dimensions of decadence countered the formation of a collective movement, leading to the classification of many examples of the decadent novel, such as Emile Zola’s *La Faute de l’Abbé Mouret* (1875, *The Sin of Father Mouret*), within the contiguous naturalist or symbolist movements, one novel has had lasting status as a

paradoxical “bible” of decadence: Joris-Karl Huysmans’s *A Rebours* (1884, *Against Nature*).

The protagonist of *A Rebours*, the esthete Des Esseintes, argues that “Nature has had her day” (20), and that the field of human genius is artifice. This decadent novel, rife with intertexts (see [INTERTEXTUALITY](#)) from the poet Charles Baudelaire (who served as a posthumous theoretician of decadence), established dominant decadent motifs featured across diverse media and genres. *Salomé*, for example, representing both a fear of woman as nature’s mystical vector of self-reproduction, as well as a cult of the perverse at the potent crossroads of innocence and of archaic or orientalized style. She reigns not only in *Against Nature* but in the work of visual artists Aubrey Beardsley (1872–98) and Gustave Moreau (1826–98), writers Gustave Flaubert (1877, “Hérodias”) and Stéphane Mallarmé (1864, “Hérodiade”), and in Oscar Wilde’s 1893 play *Salomé*. Scopophilia, exhibitionism, fetishism, and other disorders emerging in neuropsychiatric and [PSYCHOANALYTIC](#) discourses by Alfred Binet (1857–1911), Jean-Martin Charcot (1825–93), Richard Krafft-Ebing (1840–1902), and Sigmund Freud (1856–1939) contribute to the rearranging of structures of the narrative “gaze” and of affective investments in the decadent novel, as is particularly evident in *Monsieur Venus* (1884, *Mr. Venus*) and *La Jongleuse* (1900, *The Juggler*) by the woman novelist

Rachilde (Marguerite Eymery Vallette). Infatuation with artificial animation and new technologies of mimetic reproduction such as the phonograph yields an automated love object in Auguste Villiers de L'Isle-Adam's *L'Ève future* (1886, *Tomorrow's Eve*).

The decadent novel was fundamentally the fruit of a decadent aesthetic that flourished in the visual cultures of several Western European nations. It was also connected with fin-de-siècle philosophy at several axes; Arthur Schopenhauer's (1788–1860) earlier paradigm of pessimism, in which willful desire engenders suffering, was influential, as was Max Nordau's (1849–1923) book on degeneration (1895); Friedrich Nietzsche (1844–1900) believed that “Decadence belongs to all epochs of mankind; refuse and decaying matter are found everywhere” (184–85). Internationally, aside from Wilde's 1890 decadent novel *The Picture of Dorian Gray*, many possible examples of the decadent novel—such as Thomas Hardy's *Tess of the D'Urbervilles* (1891), or M. P. Shiel's *Shapes in the Fire* (1896),—demonstrate points of convergence with decadence, rather than globally decadent aesthetics. Ultimately, a considerable field of late nineteenth- and early twentieth-century novelistic production puts into play what Charles Bernheimer describes as the conjunction of “medical diagnostics, sexuality, oedipal trauma, the disintegration of the subject and the limits of the human to suggest many unsuspected avatars of the death drive” (6).

SEE ALSO: Censorship, Modernism, Philosophical Novel, Realism, Sexuality.

BIBLIOGRAPHY

- Bernheimer, C. (2002), *Decadent Subjects*.
 Bourget, P. (1883), *Essais de psychologie contemporaine*.

- Hustvedt, A., ed. (1998), *Decadent*.
 Huysmans, J.-K. (1998), *Against Nature*.
 Nietzsche, F. (1967), *Will to Power*.

Decadentismo see Italy

Decorum/Verisimilitude

WILLIAM T. HENDEL

“Decorum” refers to the norm of propriety in a literary work, and may be understood in various possible, often overlapping ways. Decorum requires, first, the author to adopt a style and tone appropriate to the work's GENRE and subject matter, and to represent the speech and actions of individual characters in a manner appropriate to their respective stations in life. Just as, for instance, a tragic work requires a serious tone and style, so must a king speak with the grandness of a king, and a peasant act with the simple rusticity of a peasant (see DIALECT). Second, decorum refers more generally to the appropriateness of the literary work for reception by the public. Historically, decorum required that nothing should appear in a literary work that would offend against the given culture's prevailing moral and social norms.

“Verisimilitude” is plausibility, or in other words, the quality of seeming true to life to the work's readers or spectators. In the broad sense, verisimilitude is a key component of REALISM in the novel. In the narrow sense, as a requirement for literary works according to the classical aesthetic doctrines most prominent in Europe from the sixteenth through the eighteenth centuries, verisimilitude often means presenting, not necessarily a vision of ordinary real life, but an idealization of life—whether depicting true-to-life character types (rather than specific individuals), or portraying life as it should be (rather than as it is). Thus, in

this narrow sense, verisimilitude may, in fact, be contrasted with realism, which often implies the representation in stark detail of the everyday lives of ordinary people, and which came to define novels after the domination of classical doctrines in Europe had passed. In contrast with realism, verisimilitude does not so much entail the positive demand that authors should actively pursue the imitation of reality in a fictional work, but rather involves the negative requirement that the work should avoid representations of characters, settings, or events that will strike the audience as either clearly unlikely or patently false.

Joined together as a pair of terms, and in reference to prose narrative, decorum and verisimilitude refer, above all, to two of the most prominent demands (*la bienséance* and *la vraisemblance*, respectively) made on literature during the period of French Classicism, identified with authors such as novelist Madame de Lafayette, poet Nicolas Boileau (1636–1711), and playwright Jean Racine (1639–99). All the same, these doctrines were significant for French prose narrative earlier in the seventeenth century and continued to have some importance, albeit fairly limited, during the eighteenth century. Although decorum and verisimilitude as a pair governed literary production more widely in early modern Europe, they were applied, in the first place, to dramatic and epic poetry, and were less consistently applied to prose narrative outside France. Prose narratives were not as likely in this period to be considered subject to these classical demands insofar as they were ignored by providers of norms and theories, since the respected ancient theorists of literature, Aristotle and Horace, had not dealt with them (see COMEDY). On the other hand, theorists and authors who sought to dignify the novel did so precisely by envisioning it as the successor to a genre with an ancient pedigree, generally the epic poem.

ORIGINS OF THE DOCTRINES IN ARISTOTLE AND HORACE

The concepts of decorum and verisimilitude originate in ancient theories of literature. The Greek philosopher Aristotle (384–322 BCE), in his analysis of tragedy in the *Poetics* (ca. 335 BCE), claims that “the poet’s task is to speak of events which *could* occur, and are possible by the standards of probability or necessity” (chap. 9). (In the French tradition, Aristotle’s term for “probability” is translated as *vraisemblance*, which, in turn, can be translated into English as *verisimilitude*. Aristotle’s original Greek expression, *to eikos*, permits translation directly into English as either “the probable” or “the true-to-life,” and corresponds to the Latin *verisimul*.) Distinguishing the dramatic or epic poet from the historian, Aristotle asserts that the latter “speaks of events which have occurred,” whereas the former’s task is to represent “the sort of events which could occur” (*ibid.*). Likewise, says Aristotle, the historian is concerned with the particular, and the poet with the universal. The *Poetics*, furthermore, treats decorum by asserting that there is diction appropriate to each form of poetry (whether tragedy, comedy, or epic).

In the *Ars poetica* (ca. 18 BCE), the Roman poet Horace (65–8 BCE) admonishes poets to adhere to decorum, above all avoiding incongruities of tone or diction. In fact, Horace relates decorum to verisimilitude when he forbids dramatic poets from having actors perform horrific or fantastic actions for the audience: “You will remove many incidents from our eyes so that someone who was present might report those incidents; Medea should not slaughter her children in the presence of the people . . . nor Procne be turned into a bird, Cadmus into a snake. Whatever you show me like this, I detest and refuse to believe” (ll. 182–8). To depict these actions mimetically (by having the

actors perform them), rather than diegetically (by having the actors report them), would be improper, as well as strain the bounds of believability (see *STORY*).

RENAISSANCE AND BAROQUE FRENCH PROSE FICTION

After scholars in Italy had rediscovered Aristotle's *Poetics* during the Renaissance (first published, in Latin translation, in 1498), authors and commentators began to appeal to both this text as well as Horace's—sometimes to the point of conflating the two, despite essential differences—in order to justify particular approaches to the vernacular literary forms of their day: not only epic and dramatic poetry, but also prose genres. Extended prose narrative in France, the *roman* (a term that refers to the novel and the romance without distinction), was viewed as subject to the norms of decorum and verisimilitude, as soon as the chivalric prose romance (*roman chevaleresque*) passed out of vogue towards the beginning of the seventeenth century. Anxious to dispense with the marvels and improbabilities of medieval and Renaissance *romans*, authors turned more and more to the sentimental novel (*roman sentimental*), centered on courtship and love, pursuing verisimilitude in their detailed representations of emotion, and appealing to decorum, or *les bienséances*, in their refinement and nobility of expression.

The reign of Louis XIII (1610–43) saw the rise of the heroic romance (*roman héroïque*, also called the *roman épique*), which combined the adventure novel with a historical background, generally ancient, and often exotic. Given the authors' avowals of historical accuracy and respect for the rules governing epic, much discussion ensued about the decorum and verisimilitude of

these *romans*. The authors frequently claimed, on the one hand, to pursue a truthful depiction of the historical facts, while on the other to provide narratives that would follow decorum by instructing the public on good morals. History does not, however, always witness virtue rewarded and vice punished. Consequently, the focus on verisimilitude, allied with mere plausibility, and distinct from strict historical accuracy, furnished the conceptual looseness required to give the appearance of truthfulness to readers, while still permitting illustrations of the moral lessons demanded by decorum.

Among the most famous of the *romans héroïques* are the excessively lengthy, multi-volume romances published under the name of Georges de Scudéry, but in fact mostly written by his sister Madeleine. Georges's preface to *Ibrahim* (1641) considers verisimilitude "the most necessary" of "all the rules that must be observed in the composition" of *romans*, but explicitly distinguishes verisimilitude from truth: "For when lies and truth are mixed together by a skilled hand, the mind has trouble untangling them and does not easily bring itself to undermine what pleases it" (Coulet 1, 454–6). In the tenth and final volume of Madeleine de Scudéry's *Clélie* (1654–61), set in ancient Rome, the characters engage in a discussion of narrative fictions (*fables*), in which they promote verisimilitude and decorum, both tied together with a concern for pleasing the reader. In pursuit of the audience's pleasure, the author "must stay away from impossible things and from low and common things, and seek out imaginings that are at once marvelous and natural" (55). Authors must thus find a middle ground between the implausible and the pedestrian, all while ensuring that *bonnes mœurs* (good morals) are preserved and that "vice is blamed and virtue rewarded" (56).

THE CLASSICAL FRENCH NOVEL AND CRITICAL ISSUES CONCERNING THE DOCTRINES

Although the classical period associated with the reign of Louis XIV (1643–1715) is best known for its poetry and non-narrative prose, it provided landmark instances of prose narrative at a time when the doctrines of decorum and verisimilitude had reached the height of their influence. For example, the *Lettres portugaises* (1669, *Portuguese Letters*), later attributed to the Comte de Guilleragues, staked a claim to verisimilitude by presenting a series of letters supposedly by a Portuguese nun, and the novel's spontaneous style of representing the narrator's internal life successfully convinced its first readers of its authenticity. The flourishing in this period of novels that were labeled as *histoires* (histories), memoirs, and accounts of voyages, as well as collections of letters, emphasized the authors' efforts to present plausible narratives that could be mistaken for recountings of true personal experience. In contrast with the Baroque *roman héroïque*, the classical novel moved away from ancient, exotic settings and brought the represented time period much closer to the present; it likewise shifted the emphasis from the great public exploits of "illustrious" personages in favor of "the particular actions of private persons, or of persons considered in their private capacity," as the Abbé de Charnes commented in 1679 (Coulet 1, 210). The constraints of decorum, at the same time, kept the representations elegant and chaste, steering away from detailed depiction of the physical and the material, and reserving meticulous attention for the heart and its motivations.

Foremost among classical novels is Madame de Lafayette's *La Princesse de Clèves* (1678, *The Princess of Cleves*), which inspired a lively debate among women and men of letters regarding its decorum and verisimilitude, focusing primarily on the

scene in the novel in which the title character confesses to her husband her secret love for the Duc de Nemours. Despite the novel's defenders, many commentators in Lafayette's time faulted the scene for failures in both decorum and verisimilitude, since no woman, they claimed, would ever make such a confession to her spouse, nor was it appropriate to represent such behavior in fiction.

In his evaluation of seventeenth-century criticisms of *La Princesse de Clèves*, Gérard Genette has famously asserted that decorum and verisimilitude actually amount to two faces of a single imperative, paralleled by the ambiguity of the verb *devoir* ("should"), which can refer to either "obligation" or "probability" (72). Citing René Rapin's definition of *vraisemblance* in his 1674 *Réflexions sur la poétique*, Genette writes: "verisimilitude and decorum are joined together under a single criterion, namely, 'whatever conforms to public opinion.' This 'opinion,' real or supposed, is almost precisely what today would be called an ideology, that is, a body of maxims and presuppositions that constitutes both a vision of the world and a system of values" (73). According to Genette, this "body of maxims," most often implicit, underpins what a given public will acknowledge as either plausible or proper, particularly with reference to the literary genre of the work under consideration (see IDEOLOGY).

More recently, scholars have elaborated on the political and sociological dimensions implied by the ideological aspect of the classical doctrines. The codes of decorum and verisimilitude can be seen as attempts to universalize, by appeal to a supposedly all-inclusive "public opinion," what were in fact the ideas and values of the elite (Kremer). Other scholars have observed that interpretations and applications of the doctrines were heavily influenced by the Académie-Française, founded in 1637 as an instrument of state power over French language and literary

convention. Thomas DiPiero has argued, moreover, that participants in the disputes over decorum and verisimilitude adopted views based on their political affiliations.

THE EIGHTEENTH-CENTURY FRENCH NOVEL

To a certain extent, the classical doctrines continued to exert an influence on literary production and discussions of it well into the eighteenth century in France. Sometimes called the last great advocate of classical norms, commentator Jean-François Marmontel (1723–99), for instance, upheld the doctrines of decorum and verisimilitude as late as his *Éléments de littérature* (1787, Elements of literature). More widely, however, the terms in which the novel was discussed gradually shifted over the course of the century. Although, on occasion, commentators would invoke decorum, sometimes in praise of particular Baroque *romans héroïques*—as did Antoine-François Prévost in his periodical *Pour et contre* (For and against) in 1738—the appeal to decorum began to yield to a broadly framed concern for morality, articulated independently of the classical dictate (May).

In addition, the later seventeenth-century interest in novels that alleged to be real-life documents became even more firmly established—most notably, with instances of the memoir-novel, such as Prévost's *Manon Lescaut* (1731), Pierre de Marivaux's *La Vie de Marianne* (1731–41, The life of Marianne), and Claude Crébillon's *Les Egarements du cur et de l'esprit* (1736–38, *The Wayward Head and Heart*), as well as with examples of the EPISTOLARY novel, such as Jean-Jacques Rousseau's *Julie, ou la nouvelle Héloïse* (1761, *Julie, or the New Héloïse*) and Pierre Choderlos de Laclos's *Les Liaisons dangereuses* (1782, *Dangerous Liaisons*). In this way, justification of the novel in terms of *le vraisemblable* (“the true to life”) was giving way to a concern simply for *le vrai* (“the true”), as even non-comic fiction became

less idealized, more contemporary in its settings, increasingly centered on private life, and less focused on royalty and aristocracy (see DOMESTIC). For these reasons, in their discussion of a great many eighteenth-century French novels, scholars generally refer not to the novels' verisimilitude, but rather to their realism, allied with middle-class interests, and revealing the cultural exchanges with realist fiction elsewhere in Europe, especially England (Barguillet; DiPiero; Mylne; Showalter).

SEE ALSO: Censorship, Domestic Novel, Epistolary Novel.

BIBLIOGRAPHY

- Aristotle (1987), *Poetics*, trans. S. Halliwell.
 Barguillet, F. (1981), *Roman au XVIIIe siècle*.
 Coulet, H. (1969–70), *Roman jusqu'à la Révolution*, 2 vols.
 DiPiero, T. (1992), *Dangerous Truths and Criminal Passions*.
 Genette, G. (1969), “Vraisemblance et motivation,” in *Figures II*.
 Horace (1995), *Ars poetica*, trans. L. Golden, in O. B. Harrison, Jr., and L. Golden, *Horace for Students of Literature*.
 Kremer, N. (2008), *Préliminaires à la théorie esthétique du XVIIIe siècle*.
 May, G. (1963), *Dilemme du roman au XVIIIe siècle*.
 Mylne, V. (1981), *Eighteenth-Century French Novel*.
 Showalter, E. (1972), *Evolution of the French Novel, 1641–1782*.
 Sterling, E. F. (1967), “The Theory of Verisimilitude in the French Novel Prior to 1830,” *French Review* 40:613–19.
 Stewart, P. (1969), *Imitation and Illusion in the French Memoir-Novel, 1700–1750*.

Definitions of the Novel

WILLIAM B. WARNER

How does one define the novel? Does it consist of a story of love, sex, and romance,

or is it centrally concerned with adventure, travel, and tests of strength? Does it happen in the private spaces of the boudoir and the drawing room, or in the public spaces of the tavern and the road? Does it have a gender? Is it written in prose (as most agree), or should we include some verse romances in the category of the novel? Does its relatively late arrival in the literary canon, when compared to poetry and drama, make the novel a distinctly modern genre, or does the novel have a crucial ancient pedigree? Does the novel have a distinct repertoire of forms and genres, or is it, as Mikhail BAKHTIN has famously claimed, a kind of anti-formalistic non-GENRE, which subverts, with its protean fecundity, any effort at generic stability or purity? Should the novel be defined according to its long and unruly popularity (which extends from pornography and the GOTHIC to DETECTIVE fiction and SCIENCE FICTION), or should we define it so that we can take the measure of the most ambitious achievements of novelistic art? Finally, and perhaps most fundamentally, how should we define the purpose of the novel? Is it supposed to enchant or to inform, to entertain or to improve, to allow readers to know, or to escape from, reality? Confronted with this set of alternatives, I would like to begin this entry's effort at definition by saying, with a certain dogmatic pluralism, that the novel is "all of the above." However, I would immediately add that the writers and readers of novels, over the long history of novels, have had strongly divergent opinions on what the novel is. Indeed, the history of the effort to define what the novel is and the history of the novel are inextricably entangled. For this reason, my strategy is to describe how a prominent thread of the novel's long history—its rise from a form of entertainment to a kind of literature—involves authors, critics, and readers of the novel in efforts to define what it is.

HISTORIES OF THE NOVEL'S RISE

While critical paradigms have been developed for interpreting both individual novels and the novel as a genre—the concepts of dialogism and heteroglossia (Bakhtin), mythic archetypes (Northrop Frye), the rhetoric of fiction (Wayne C. Booth), and reader response (Wolfgang Iser), to name only a few of the most influential—none of these approaches engage the distinct two-hundred-and-fifty-year history of the novel's elevation into cultural centrality, and they thus fail to come to terms with our culture's investment in the novel. One of the grand narratives of British literary studies might be entitled "The Progress of the Novel" (see HISTORY). It tells the story of the novel's "rise" in the eighteenth century (with Daniel Defoe, Samuel Richardson, and Henry Fielding), its achievement of classical solidity of form in the nineteenth century (with Jane Austen, Charles Dickens, William Makepeace Thackeray, George Eliot, the early Henry James, and Joseph Conrad), and its culmination in a modernist experimentation and self-reflection (with the late James, Virginia Woolf, James Joyce, and Samuel Beckett) that paradoxically fulfills and surpasses "the novel" in one blow. The eighteenth-century segment of this narrative was consolidated in 1957 with the publication of Ian Watt's enormously influential book, *The Rise of the Novel: Studies in Defoe, Richardson and Fielding*. Watt's study correlates the middle-CLASS provenance of the eighteenth-century British novel with a REALISM said to be distinctively modern for the way it features a complex, "deep" reading subject. Precisely because of the way that history flows into and through Watt's book, *The Rise of the Novel* functions as a watershed in the consolidation of the story of the novel's rise.

Where and when and why does the story of the novel's rise begin to be told? This history of the British novel's beginnings turns out to have a history. In order to grasp the complex diversity of earlier understandings of the novel, one must defer the question that haunts and hurries too many literary histories of the novel: what is "the first real novel?" There are several reasons we should be skeptical of the efforts of those novelists and literary critics who hasten to designate the first real novel. First, the absence of an authoritative Greek or Latin precursor for the modern novel—i.e., there is no "Homer" or "Sophocles" for the modern novel—has encouraged the wishful performative of claiming that position for a range of different novels, within different national settings: e.g., in Spain, *Don Quixote* (1605), in France, *La Princesse de Cleves* (1678, *The Princess of Cleves*); or, in England, the "new species" of writing of Samuel Richardson and Henry Fielding. When one watches how literary critics have sought to adjudicate these claims, one inevitably finds a suspicious feedback loop that Cathy Davidson has noted in efforts to designate the first American novel: the general minimal criteria for being a "true" novel are elucidated through a first paradigmatic instance, which then confirms the initial criteria (Davidson, 83–85).

Any literary history focused around designating the "first" "real" novel—with its restless intention to promote and demote, and designate winners and losers—can't stand outside, but instead inhabits the terms of that culturally improving, Enlightenment narrative that tradition has dubbed "the rise of the novel." Before the emergence of the novel into literary studies and literary pedagogy, novels played a subsidiary role in several crucial cultural episodes—the debate, over the course of the eighteenth century, about the pleasures and moral dangers of novel reading; the adjudication

of the novel's role in articulating distinct NATIONAL cultures; and finally, the shifting terms for claiming that a certain representation of modern life is "realistic." It is through these three articulations that the novel secures its place as a type of literature. By briefly surveying these three episodes in the cultural institutionalization of the British novel, I will jump back before the sedimentation and consolidation of the idea of the legitimate, valued, modern novel, which can then be given its lead role in "the rise of the novel," and assume its secure place as a genre of literature.

NOVEL AS A DEBASED AND SCANDALOUS OBJECT

Novels have been a respectable component of culture for so long that it is difficult for twentieth-century observers to grasp the unease produced by novel reading in the eighteenth century. During the decades following 1700, a quantum leap in the number, variety, and popularity of novels led many to see novels as a catastrophe to book-centered culture. Although the novel was not clearly defined or conceptualized, the object of the early anti-novel discourse was quite precise: seventeenth-century ROMANCES and novellas of continental origin, as well as the "novels" and "secret histories" written by Aphra Behn, Delariviere Manley, and Eliza Haywood in the decades following the early 1680s. Any who would defend novels had to cope with the aura of sexual scandal that clung to them, and respond to the accusation that they corrupted their enthusiastic readers.

From the vantage point of the late twentieth century, the alarm provoked by novel reading may seem hyperbolic, or even quaint. Sometimes it is difficult to credit the specific object of the alarm of the eighteenth-century critics of novels: after all, we

recommend to students some of the very novels these early modern critics inveighed against. But, at least since Plato's attack on the poets, philosophers, and cultural critics had worried about the effects of an audience's absorption in fictional entertainments that may be little more than beautiful lies. During the early eighteenth century the circulation of novels on the market gave this old cultural issue new urgency. Often published anonymously, by parvenu authors supported by no patron of rank, novels seemed irresponsible creations, conceived with only one guiding intention: to pander to any desire that would produce a sale (see PUBLISHING). Many of the vices attributed to the novel are also attributes of the market: both breed imitation, incite desire, are oblivious to their moral effects, and reach into every corner of the kingdom. Rampant production allows bad imitations to proliferate, and develops and uses new institutions to deliver novels indiscriminately into the hands of every reader.

But why was novel reading considered so dangerous? The power and danger of novels, especially to young women not exposed to classical education, is supposed to arise from the pleasures novels induce. Clara Reeve's *The Progress of Romance* (1785) ends with a staged debate between the book's protagonist, the woman scholar Euphrasia, and a high cultural snob named Hortensius. Hortensius develops a wide-ranging indictment of novel reading. First, novels turn the reader's taste against serious reading: "A person used to this kind of reading will be disgusted with everything serious or solid, as a weakened and depraved stomach rejects plain and wholesome food." (2.78). Second, novels incite the heart with false emotions: "The seeds of vice and folly are sown in the heart,—the passions are awakened,—false expectations are raised.—A young woman is taught to expect adventures and intrigues . . . If a plain man addresses her in rational

terms and pays her the greatest of compliments,—that of desiring to spend his life with her,—that is not sufficient, her vanity is disappointed, she expects to meet a Hero in Romance" (2.78). Finally, novels induce a dangerous autonomy from parents and guardians: "From this kind of reading, young people fancy themselves capable of judging of men and manners, and . . . believe themselves wiser than their parents and guardians, whom they treat with contempt and ridicule" (2.79). Hortensius indicts novels for transforming the cultural function of reading from solid nourishment to exotic tastes; from preparing a woman for the ordinary rational address of a plain good man to romance fantasies of a "hero"; from reliance upon parents and guardians to a belief in the reader's autonomy. Taken together, novels have disfigured their reader's body: the taste, passions, and judgment of stomach, heart, and mind. Here, as so often in the polemics around novels, the novel reader is characterized as a susceptible female, whose moral life is at risk. By strong implication, she is most responsible for transmitting the media virus of novel reading.

The debate about the dangers of novel reading changed the kind of novels that were written. First, cultural critics sketched the first profile of the culture-destroying pleasure-seeker who haunts the modern era: the obsessive, unrestrained consumer of fantasy. Novelists like Manley and Haywood included this figure of the pleasure-seeking reader within their novels, as a moral warning to their readers (see Warner, 88–127). Then, novelists like Richardson and Fielding, assuming the cogency of this critique, developed replacement fictions as a cure for the novel-addicted reader. In doing so, they aimed to deflect and reform, improve and justify novelistic entertainment. Thanks to the success of Richardson's *Pamela* (1740) and *Clarissa* (1747–48) and Fielding's *Joseph*

Andrews (1742), and *Tom Jones* (1749), the terms of the debate about the dangers of novel reading shifted. Those critics who stepped forward after the mid-eighteenth century to describe the salient features and communicable virtues of these two author's works offered an unprecedented counter-signing of the cultural value of their novels. Between uncritical surrender to novel reading, and a wholesale rejection of novels in favor of "serious" reading, Richardson and Fielding's novels seemed to be a third pathway for the novel. Clara Reeve described the strategy in these terms: to "write an antidote to the bad effects" of novels "under the disguise" of being novels (85). For Samuel Johnson, a critical intervention on behalf of the new novel meant arguing in favor of the "exemplary" characters of Richardson, over the more true-to-life "mixed" characters of Fielding or Tobias Smollett (*Rambler* 4). By contrast, Francis Coventry, in a pamphlet published anonymously, "An Essay on the New Species of Writing Founded by Mr. Fielding" (1751), follows the basic procedure Fielding had devised in the many interpolated prefaces of *Joseph Andrews* and *Tom Jones*: he applies the critical terms and ideas developed earlier for poetry, epic, and drama to the novel.

THE NOVEL AS AN EXPRESSION OF THE NATION

Because Italy, Spain, and France provided the most influential models for romance and novel writing in England, in the eighteenth century, novels were considered a species of entertainment most likely to move easily across linguistic and national boundaries. Both the opponents and proponents of novel reading read the novels of different nations off the same shelves. But by the nineteenth century, the novel was gradually nationalized. Influential critics like

William Hazlitt (1778–1830) and Walter Scott came to understand novels as a type of writing particularly suited to representing the character, mores, landscape, and "spirit" of particular nations. In a different but no less complete way than poetry, the novel is reinterpreted as a distinct expression of the nation. However, this articulation of nation and novel has a rich prehistory. Over the course of the eighteenth-century debate about novels there develops a correlation that would inflect the idea of a distinctly *English* novel. Repeatedly it is claimed that England is to France as the novel is to the romance, as fact is to fantasy, as morality is to sensuality, as men are to women. (Terms can be added to this series: genuine and counterfeit, simple and frothy, substantial and sophisticated.) Grounded in a caricature of France as effeminate and England as manly, this loaded set of oppositions is simultaneously nationalist and sexist. These correlations weave themselves like a gaudy thread through all the subsequent nineteenth-century literary histories of the novel's rise.

Novel reading is assumed to have the power to create an imagined community of English readers (see Anderson). For Hazlitt and Scott the idea of the novel as a vehicle for expressing cultural difference becomes folded into an historicism that assumes a people and their culture are an organic totality, essentially different from one another in every aspect of their identity. Within this romantic literary history, the nation, people, or RACE becomes the truth that particular genres, authors, and periods disclose. Now, bracing new questions about the historical causes of the ebb and flow of national genius can be posed within a literary history of the novel. Thus, in his *Lectures on the Comic Writers* (1819), Hazlitt speculates why the four great novelists of the mid-eighteenth century emerged at the same time. This enables him to develop the

thesis that the novel's rise can be attributed to one of the bywords of English identity: the idea of English liberty.

It is remarkable that our four best novel-writers belong nearly to the same age [the reign of George II] . . . If I were called upon to account for this coincidence, I should waive the consideration of more general causes, and ascribe it at once to the establishment of the Protestant ascendancy, and the succession of the House of Hanover. These great events appear to have given a more popular turn to our literature and genius, as well as to our government. It was found high time that the people should be represented in books as well as in Parliament. They wished to see some account of themselves in what they read; and not to be confined always to the vices, the miseries, and frivolities of the great. . . . [In France] the *canaille* are objects rather of disgust than curiosity; and there are no middle classes. The works of Racine and Molière are either imitations of the verbiage of the court, before which they were represented, or fanciful caricatures of the manners of the lowest people. But in the period of our history in question, a security of person and property, and a freedom of opinion had been established, which made every man feel of some consequence to himself, and appear an object of some curiosity to his neighbours: our manners became more domesticated; there was a general spirit of sturdiness and independence, which made the English character more truly English than perhaps at any other period—that is, more tenacious of its own opinions and purposes. The whole surface of society appeared cut out into square enclosures and sharp angles, which extended to the dresses of the time, their gravel-walks, and clipped hedges. Each individual had a certain ground-plot of his own to cultivate his particular humours in, and let them shoot out at pleasure; and a most plentiful crop they have produced accordingly. The reign of George II was, in a word, the age of *hobby-horses*: but, since that period, things have taken a different turn. (143–44)

After these words, Hazlitt goes on to regret the way the constant wars of the previous fifty years have driven out this “domestic” interest, and made the king’s and nation’s actions central, even up to the point of restoring “the divine right of kings.”

There are several remarkable features to the way Hazlitt explains the comparatively sudden, and regrettably temporary, effulgence of British genius in the early (by now, canonical) novel writers of the period of George II (1727–60: Richardson, Fielding, Smollett, and Laurence Sterne. First, Hazlitt offers an early rendering of what is by now the classic explanation for the rise of the novel: a correlation of the rise of the middle class (with its Protestantism, individualism and domesticity, or in other words, its subjectivity) with the rise of the novel. But here, that thesis is not an abstract sociological correlation, applicable to all societies undergoing modern economic development. It is interwoven, at every point, with the central myths of English national identity—its idea of what separates French “despotism” from English liberty. Thus the political upheaval that brought the House of Hanover to the throne is said to have given “a more popular turn to our literature and genius.” How does this “turn” come about? Although Hazlitt blurs the agency for this change through the use of a passive construction (“It was found high time”), he aligns the cultural and political demands for representation as they express themselves “in books as well as Parliament.” This brings into existence a new species of culturally enfranchised reader: one who demands a turn away from representations of the “vices, miseries, and frivolities of the great” to “an account of themselves.” This break from cultural despotism (as expressed in the continental romance and novella) is grounded in the flowering of English liberty, which wins for each “a security of person and property, and freedom of opinion.”

Since this turn toward a more popular and “domestic” culture wins the English reader a certain “life” and “liberty,” he (not she) becomes propertied—“each individual had a certain ground-plot of his own to cultivate his particular humours in.” The novel—in the epoch of its flowering—thus allows every English citizen to realize a claim to the Lockean trinity of life, liberty, and property. English novels put English readers of a certain epoch in possession of a self.

Hazlitt’s Whig interpretation of the free Golden Age of the mid-eighteenth century, written from the vantage point of his conception of English democratic identity, is embedded in many subsequent understandings of what the novel is and does. Because of the novel’s celebrated grasp of ordinary life, its use of detailed description, its incorporation of social DIALOGUE and inner thoughts, at least since the nineteenth century, the novel has served as the royal road to identity. If one is a writer from a certain region, ethnic group, or nation, it is assumed that writing a novel will help to define it, e.g., the American South, blackness, or Nigeria (see REGIONAL). And if you, as a member of one of those groups (or as a curious reader), want to absorb the deep truth of those identities, it is assumed that reading William Faulkner, Toni Morrison, or Chinua Achebe will take you closer to that special flavor of human identity. The global dissemination of novel reading and novel writing has made the novel a privileged discursive site for brokering the relations among nations and peoples (Lynch and Warner, 3). This has also given the novel a starring role in today’s multicultural curriculum.

THE NOVEL’S REALIST CLAIMS

Novels, which are at their simplest level lively stories about people who never existed, have no necessary relation to moral

life or national identity. The articulations between these different cultural terms—novels, morality, nationhood—are the contingent effect of the institutionalization of the novel carried out by writers, critics, and readers. Both these articulations lend support to and are grounded in a third, equally important connection—that between the “novel” and “real life”. The idea that the novel effects a particularly compelling imitation of “real life” is as old as seventeenth-century critical claims on behalf of the novella against the romance. Similar claims were made on behalf of the anti-romance of Miguel de Cervantes Saavedra. But since the eighteenth century, the claim to represent “real” life and manners has never been merely descriptive; it has also been normative (see DECORUM). To represent “real” life is to attain a more valuable species of writing. Making this claim on behalf of the novel and against romance was a way critics promoted the surpassing of the old romance, with its fabulous elements and its extravagant codes of honor, in favor of a rational modern taste in entertainment.

Any systematic effort to deal with the many theoretical and historical horizons of “realism” is beyond the scope of this entry. My concern is to understand how the “realist claim” so frequently made for novels operates as a third criterion for defining the novel and rationalizing its rise. Ever since critics and novelists have been making this claim for the novel, there have been compelling reasons for critical skepticism. First, any claim that the novel re-presents the real runs up against a systematic obstacle arising from its linguistic medium. No text, whether it is history, science, or fiction, once transported from the SPACE OR TIME of its production, and no matter how earnest its aspirations to truth, can bear a mark in its own language that verifies its relation to something outside itself. The tenuousness of the novel’s realist claim is evident from

the wide historical vacillations in accepted critical wisdom as to what constitutes the most truthful representation of “real” life. There are several reasons why the concept of mimesis, or imitation, becomes inevitable within formulations of the role of novels: a mimetic relation is implicit in the structure of the sign, in every effort at narrative, in the attempt to bring truth into the presence of consciousness through language (Derrida, 186–87). As realist claims begin to be made in the mid-eighteenth century, there are certain background axioms operating within such a claim. First, this claim does not establish a naively empirical relationship between word and thing, but unfolds within an understanding that the novel has a mediated aesthetic relation to what it represents (McKeon, 118–28). Thus for example, a dialogue in a tavern is not, whatever its verisimilitude, the same as a transcript of an actual dialogue. Second, the realist claim is founded upon, and therefore limited by, a judgment made at a particular time among a social network of readers who produce, consume, and criticize.

For the readers who experience the “realist effect” (Barthes, 182) of a particular novel’s alignment of language and referent, the judgment that this or that novel is intrinsically realistic is a pleasing consensus. Its being shared by a community of readers encourages the critical consolidation of a certain specific form of writing as a prescribed form of realism: e.g., in the history of novels, “writing to the moment” (Richardson), “formal realism” (Watt), omniscient narrative, stream-of-consciousness writing, etc. But the repeated use of a particular form of fiction wears away its realist effect, until it appears to be a mechanical, formula fiction referring to nothing so much as itself. The decay of the realist effect of old realisms incites practices and manifestoes which promote new species of realism. In the over three-hundred years of novel criticism in

English, one question—“Is it realistic?”—has served as the most generally accepted criterion of value. But while critics have at times sought to regularize novelistic production around the goal of representing real life, and advocated the novel as the most powerful literary technology for representing reality, readers, and the authors who write for them, have happily indulged periodic returns to romance, whether through the development of the gothic novel (Horace Walpole, 1764, *The Castle of Otranto*), the novel of fantasy, or the novel of adolescent action and adventure (see Glazener, in Lynch and Warner).

THE NOVEL AS A FORM OF ART

In the second half of the nineteenth century, the novel’s realism is complicated and enriched by novelists such as Gustave Flaubert and Henry James, who aestheticize the novel. While it may seem that such a movement would vitiate the novel’s realist claims, in fact it aligns the novel with a critical tradition that goes back to Aristotle, whereby art’s power to represent nature is dependent on its acceptance of inherited aesthetic forms and types like tragedy, epic, and the pastoral. In James’s prefaces to the New York edition of his novels, later gathered by R. P. Blackmur into *The Art of the Novel* (1934), a new demand is made of novels that would accede to the condition of art: they must have “form.” James develops this term through analogies to drama, painting, and sculpture in order to make the case for the novel’s having a graspable contour, shape, or structure. Because James is so protective of the novelist’s prerogatives, it is often difficult to be sure what is meant by the novel’s “form.” For James a novel has “form” if it achieves a unified and economic commingling of plot, character, and idea. It is clear which novels lack form: those “loose

baggy monsters” that James mocks and Victorian novel readers had been all too ready to indulge (1908, x).

The successful articulation of the novel and art has several important effects upon the novel’s cultural placement. First, a new sophistication and irony attend critical considerations of the novel’s realist claims. It is assumed that the novel’s claim to realism depends upon the novel’s position as a kind of art, and its claim to represent the real unfolds not in opposition to the artificial, but through the illusion-engendering resources of art. There is a consensus among academic critics of the twentieth century that successful realism is grounded in a reciprocal interplay between literary form and mimetic function.

The expectation that the best and most significant novels possess “form” helps transform the literary history of the novel, and the imagination of its rise. As long as the novel seemed free of the critical constraints that framed the cultural acceptance of epic, drama, and poetry, and its signal feature was the atavistic pleasures it afforded its readers, literary historians could trace the many interconnections between the modern novel and the romances of earlier epochs. As long as the moral function or national telos of novelistic writing guided literary histories, the affinities of early English novels with Shakespeare’s characters, Geoffrey Chaucer’s stories, Cervantes’s anti-romance, and the modern French novel seemed plausible, and open to exploration. But once the novel’s generic identity was understood to depend upon realist claims achieved through a particular form, the arrival of the modern novel appeared unheralded and contingent (see MODERNISM). Its first instance could now be sought. The emergence of the modern novel comes to be represented as dependent upon an abrupt invention of new and more powerful techniques for representing reality.

The wide influence of *The Rise of the Novel* results in part from the way Watt adds an important new dimension to the story of the novel’s rise, by updating its realist claim. By aligning Richardson’s “writing to the moment” with the distinctly modern turn toward a rendering of private experience and subjective intensities, Watt redefines the object of novelistic mimesis from the social surface to the PSYCHOLOGICAL interior. Watt’s argument ends up redefining the novel—and the “formal realism” it is built upon—so as to revalue Richardson at Fielding’s expense. How and why does the novel shift the terrain of its realist claims from the social surface to the ineluctable psychological interior? Here is my speculation. By the turn of the twentieth century, novelistic writing is but one of several kinds of representation within culture claiming to represent reality. Over the last decades of the nineteenth century and the first decades of the twentieth century, PHOTOGRAPHY and cinema co-opt the sort of social description and precise verisimilitude of the visible surface most characteristic of nineteenth-century novelistic realism. To sustain its realist claims, novel writers locate a more obscure object, one inaccessible to the camera lens, by turning inward. Now the most advanced novels, those, for example, of Joyce, Marcel Proust, Woolf, and Faulkner, are claimed by critics to affect a mimesis of the inner consciousness. The old aesthetic demand that art have a certain “form” receives a technological spin in the invention of a narrative of the mind. Just as the new media of photography and the phonograph and their merger into cinema enable a new set of realist claims, so the novel is reinterpreted as the medium uniquely suited to representing the inner life. Within Watt’s literary history, Richardson’s “writing to the moment” can be revalued as the early modern precursor of the stream-of-consciousness writing attributed to some late modern novelists.

This highly selective historical overview of various definitions of the novel demonstrates how history works on, with, and through the novel, so that we might say of the novel what is said of Cleopatra: “Age cannot wither her, nor custom stale/Her infinite variety” (Shakespeare, *Antony and Cleopatra*, II.ii).

BIBLIOGRAPHY

- Anderson, B. (1983), *Imagined Communities*.
 Barthes, R. (1970/1974), *S/Z*, trans. R. Miller.
 Coventry, F. (1751), “An Essay on the New Species of Writing Founded by Mr. Fielding,” *Augustan Reprint Society No. 95* 1962.
 Davidson, C. (1986), *Revolution and the Word*.
 Derrida, J. (1983), *Dissemination*, trans. B. Johnson.
 Doody, M.A. (1996), *True Story of the Novel*.
 Glazener, N. (1996), “Romances for ‘Big and Little Boys,’” in Lynch.
 Hazlitt, W. (1845), *Lectures on the Comic Writers*, 3rd ed.
 James, H. (1908), “Preface,” in *Tragic Muse*, vol. 7.
 James, H. (1934), *Art of the Novel*, ed. R.P. Blackmur.
 Johnson, S. (1750), *Rambler 4*.
 Lynch, D. and W.B. Warner, ed. (1996), *Cultural Institutions of the Novel*.
 McKeon, M. (1987), *Origins of the English Novel, 1600–1740*.
 Reeve, C. (1785), *Progress of Romance*.
 Warner, W.B. (1998), *Licensing Entertainment*.
 Watt, I. (1957), *Rise of the Novel*.

Description

CYNTHIA WALL

In the late seventeenth through the early eighteenth century, description consisted largely of brief tags, all-purpose adjectives, the naming of things well known to the reader: a chamber, a beautiful woman, a window, a pot, a castle. By the nineteenth century, visual detail was virtually comprehensive, penciling in a complete portrait of SPACE, of TIME, of physiognomy, of surface.

Although forms of description had been classified and used since classical times, from the seventeenth century on, prose fiction adapted “the craft of descrypcyoun” (O. Bokenham, 1447, qtd. in *OED*) to its particular extended spaces, spacious tempos, and representations of the ordinary. By 1884, Henry James would assert that “the air of reality (solidity of specification) seems to me to be the supreme virtue of a novel—the merit on which all its other merits . . . depend.” Description changed from what was more or less a pointing index finger, a bare floor for action and dialogue, to a fully carpeted, thickly detailed space, from a “figure” for the novel to be wary of, to a necessary condition for its art.

EARLY HISTORY, AND “EKPHRASIS”

Novelistic description has its roots in the rules of classical poetry and rhetoric, where, according to Aristotle, poetic “statements” are “of the nature rather of universals, whereas those of history are singulars” ca. 335 BCE, (*Poetics* 2323; §1451b) and the end is vividness (*enargeia*) and probability: “the poet should remember to put the actual scenes as far as possible before his eyes. In this way, seeing everything with the vividness of an eye-witness as it were, he will devise what is appropriate, and be least likely to overlook incongruities” (*Poetics* 2328–29; §1455a). What we know as “description” developed out of the exercise of “ekphrasis” in the Greek *Progymnasmata* (“School Exercises”): “an expository speech which vividly (*enargos*) brings the subject before our eyes” (Theon, second century CE; qtd. in Race).

Ekphrasis has long been entangled with description. The *Oxford Classical Dictionary* defines it as “the rhetorical description of a work of art.” Certainly since the Renaissance the term—or the concept—has been

employed to describe descriptions of paintings or tapestries or statues or other objets d'art, as in Ludovico Ariosto's *Orlando Furioso* (1516, 1532, *Mad Orlando*), Miguel de Cervantes Saavedra's *Don Quixote* (1605, 1615), or Fyodor Dostoyevsky's *Idiot* (1868, *The Idiot*). Jean Hagstrum calls it "giving voice and language to the otherwise mute art object," and Keats's "Ode on a Grecian Urn" (1820) is usually held up as an iconic example, linking the tradition back to Homer's description of Achilles's shield in the *Iliad*. But in classical rhetoric ekphrasis was just as often a scene unfolding in time—the crafting of that shield, for example, or a battle (see Webb). Epics were always happy to pause for long displays of objects, and vivid depictions of persons, times, places, and actions were equally part of the classical ekphrastic tradition. Often the vividness in the description—the enargeia in the ekphrasis—would spring from the smallest word choice: Aristotle recommended using verbs of motion, especially present participles, and adverbial phrases in creating vivid representation: "By 'making them see things' I mean using expressions that represent things as in a state of activity . . . [as in] 'Thereat up sprang the Hellenes to their feet,' where 'up sprang' gives us activity as well as metaphor, for it at once suggests swiftness" (*Rhetoric* §§1411b–1412a). Ekphrasis in the classical tradition embraced a moving world of things; ekphrasis in the modern tradition focuses on the "speaking picture."

In the medieval period, description was a form of rewriting Greek and Latin imagery for a new context; much as Virgil's tempest in the *Aeneid* is rewritten from Homer, so medieval description works with what is already there—not only in the literature itself, but in the literary memories and experiences of their new readers. It might be said to *evoke* images rather than represent them. Description in the Renaissance was modeled largely on the classical tradition,

and comprised several kinds: pragmatographia (description of things), topographia (description of place), prosopopeia (description of a person), prosopographia, ("the feigning of a person", as Richard Sherry's 1550 *A Treatise of Schemes & Tropes* puts it, or characterization), pathopeia (description of emotions), chronographia (the description of time—night and day, the seasons), and a host of other aides-de-camp: similitude, icon or image, dialogue, amplification, hyperbole, paralepsis, distinctions between "feignings" of real persons or animals and feignings of myth, and division within division, subcategory beneath subcategory, or all of the above. Henry Peacham, in *The Garden of Eloquence* (1577), defines pragmatographia as "a description of things, wherby we do as plainly describe any thing by gathering together all the circumstances belonging unto it, as if it were moste liuely paynted out in colloures, and set forth to be seene."

In the sixteenth and seventeenth centuries a division entered between description and narration that would become outright opposition. Figures of speech—metaphors, similes, tropes—which were all readily employed in descriptions of persons, places, and things, became a matter for stylistic wariness (see RHETORIC). John Smith, in *The Mysterie of Rhetorique Unvail'd* (1657), makes a favorite Renaissance trope explicit: "A *Figure* in the Greek . . . signifies principally *habitum, vestitu, & ornatum corporis*, in English, the apparel and ornament of the body; which by a Metaphor is transferred to signifie the habit and ornament of words of speech." But as George Puttenham warns, "the Poet or makers of speech becomes vicious and vnpleasant by nothing more than by vsing too much surplusage" (*Arte of English Poesie*, 1589). As ekphrasis was beginning to pull away from the classical meaning of a vivid representation of *something* toward a work of art, so

description in general was pulling away from its energized status as part of narrative (with springing verbs and scenes of action or the actual crafting of the work of art) to become something of an object in itself—a heavy robe, a burden, extra baggage, the drone of a bagpipe—a fixture of stasis that *interrupted* narrative.

THE EIGHTEENTH AND NINETEENTH CENTURIES: FORMS OF DESCRIPTION

The Renaissance accounts of description apply mostly to poetry, but were generally absorbed by the growing GENRE of prose fiction that was to become the novel. The early English novel could rarely be attacked as having “too much surplusage,” in Peacham’s terms; faces, rooms, landscapes were rarely described. Daniel Defoe’s novels are noted for their things or their addresses—visual boundaries appear, rather as in the classical tradition, when narrative requires them, as in this scene of topographia from *Moll Flanders* (1722) when the young heroine is pounced upon by the elder brother of the house she lives in:

It happen’d one Day that he came running up Stairs, towards the Room where his Sisters us’d to sit and Work, as he often us’d to do; and calling to them before he came in, as was his way too, I being there alone, step’d to the Door, and said, Sir, the Ladies are not here, they are Walk’d down the Garden; as I step’d forward, to say this towards the Door, he was just got to the Door, and clasping me in his Arms, as if it had been by Chance, O! Mrs. *Betty*, says he, are you here? That’s better still; I want to speak with you, more than I do with them, and then having me in his Arms he Kiss’d me three or four times.

We have a set of stairs, a sitting room, a garden gestured, a door which captures the

elder brother capturing Moll (or Mistress Betty, as she is known in her pre-criminal days), but no full drawing of any interior space. In general in late seventeenth- and early eighteenth-century novels, the persons and spaces are designated by general terms, closer to the conventions of playwrighting, which leave the blanks of a “Chamber” to be filled in by the performance; in the novel, by the reader’s imagination.

Contrast a nineteenth-century moment of topographia, when Charlotte Brontë’s heroine Jane Eyre describes the “red room” where her aunt has banished her:

The red-room was a spare chamber, very seldom slept in . . . yet it was one of the largest and stateliest chambers in the mansion. A bed supported on massive pillars of mahogany, hung with curtains of deep red damask, stood out like a tabernacle in the centre; the two large windows, with their blinds always drawn down, were half shrouded in festoons and falls of similar drapery; the carpet was red; the table at the foot of the bed was covered with a crimson cloth; the walls were a soft fawn colour, with a blush of pink in it; the wardrobe, the toilet-table, the chairs were of darkly-polished old mahogany. (1847, *Jane Eyre*, Chap. 2)

Here the eye sweeps the room, noting colors and textures, lighting and reflections, and precise spatial coordinates. The visual picture is complete; there is little to be filled in. Early novels depend, classically, on universals rather than particulars; Irvin Ehrenpreis has argued that when detailed description enters, it does so as “negative particularity”—the phenomenon of detailed description relegated to the low, vicious, or comic in the Augustan world: “What had to be rendered in bright detail was what did not belong to the familiar things of their world”; “truth” and “beauty” and “virtue” were shared, familiar, public, matters of common standard.

Yet even from the beginning, the novel as a genre was more interested than poetry in numbering the streaks of the tulip (Samuel Johnson, 1759, *Rasselas*). In eighteenth-century prosopopeia, or the description of a person, for example, heroes and heroines of early novels are typically cast in the general mode: “Her face and person answer my most refined ideas of complete beauty,” says Lady Howard of the young Evelina in Frances Burney’s *Evelina* (1778); says one Lady Brooks of Samuel Richardson’s *Pamela*: “See that Shape! I never saw such a Face and Shape in my Life” (1740, *Pamela*). But there are notable exceptions of *positive* particularity, such as the Narrator’s loving description of Sophia Western in Henry Fielding’s *Tom Jones* (1749): “Her eyebrows were full, even, and arched beyond the power of art to imitate. Her black eyes had a lustre in them, which all her softness could not extinguish. Her nose was exactly regular. . . . Her cheeks were of the oval kind; and in her right she had a dimple, which the least smile discovered” (4.2). John Graham notes a sharp rise in the use of pathognomy (the “passing expression” and/or signs of the passions) in the novel from about 1760 until, by the late eighteenth century, the particulars of face and expression became “an essential part of character revelation” and “dramatic conflict was expressed through complete and subtle readings of passing expressions.” Frances Burney can pour a world of descriptive meaning in the small spaces between words and actions, as when the languid libertine, Lord Merton, responds to his affected fiancée with Aristotelian precision: “‘You have been, as you always are,’ said he, twisting his whip with his fingers, ‘all sweetness.’” In George Eliot’s *Daniel Deronda* (1876), the hero’s attention is caught by Gwendolyn Harleth at the gaming table: “The sylph was a winner; and as her taper fingers, delicately gloved in pale-grey, were adjusting the coins which had been

pushed towards her in order to pass them back again to the winning point, she looked round her with a survey too markedly cold and neutral not to have in it a little of that nature which we call art concealing an inward exultation” (1.1). *Deronda*’s scrutiny catches her attention, and the rest of the scene plays out the contrast between how they think and how they look, each reading the glance and gesture of the other as code.

Chronographia, or the description of time, also emerges differently in different centuries. Defoe’s narrators famously mark time by recycling it: “It was about the Beginning of *September 1664*,” the narrator of *A Journal of the Plague Year* (1722) begins, “that I, among the Rest of my Neighbours, heard in ordinary Discourse, that the Plague was return’d again in *Holland*; . . . but all agreed, it was come into *Holland* again.” The narrative then ebbs and flows with the movements of the plague, as the narrator circles back to its beginnings and forward to its end in a series of digressions that scuttle away from and then return to moments of horror: “But I come back to the Case of Families infected”; “But I am now talking of the Time, when the Plague rag’d at the Easter-most Part of the Town”; the death of the narrator himself is embedded in a note towards the end of the narrative: “*N.B.* The Author of this Journal, lyes buried in that very Ground, being at his own Desire, his Sister having been buried there a few years before.”

Where time curls up in Defoe, it stretches out luxuriously in Mark Twain’s nineteenth-century chronograph in *Huckleberry Finn* (1884–5):

It was a monstrous big river down there—sometimes a mile and a half wide Not a sound, anywheres—perfectly still—just like the whole world was asleep, only sometimes the bull-frogs a-cluttering, maybe. The first thing to see, looking away over the water, was a kind of dull line—that was the woods on

t'other side—you couldn't make nothing else out; then a pale place in the sky; then more paleness, spreading around; then the river softened up, away off, and warn't black any more, but gray; you could see little dark spots drifting along, ever so far away—trading scows, and such things; and long black streaks—rafts; sometimes you could hear a sweep screaming; or jumbled up voices, it was so still, and sounds come so far; and by-and-by you could see a streak on the water which you know by the look of the streak that there's a snag there in a swift current which breaks on it and makes that streak look that way; and you see the mist curl up off of the water, and the east reddens up, and the river, and you make out a log cabin in the edge of the woods, away on the bank on t'other side of the river, being a wood-yard, likely, and piled by them cheats so you can throw a dog through it anywheres; then the nice breeze springs up, and comes fanning you from over there, so cool and fresh, and sweet to smell, on account of the woods and the flowers; but sometimes not that way, because they've left dead fish laying around, gars, and such, and they do get pretty rank; and next you've got the full day, and everything smiling in the sun, and the song-birds just going it! (Chap. 19)

This is a long, slow, dreamy progress down the Mississippi and into the day; from “The first thing to see” to the “full day,” the narrative is a single sentence, collecting its clauses in the wake of its easy motion, pulling light and color and sound and scent along its own approach toward approaching events. Although the visual or sensual contents of chronographia might change quite perceptibly over time, the handling of time is always a function of narrative itself, a way of wielding words and meting punctuation to deliver a temporal experience.

Forms of description do not change much—writers always push for vivid representations of time and space, faces and emotions, things and events. But what constitutes a vivid representation changes

across time and culture. For the seventeenth and eighteenth centuries, a more universally shared warehouse of literature, as well as of goods, meant that a brief phrase or even a single word could swell instantly into rich meaning for a contemporary reader: “if thou wilt open and set abroad those things whiche were included in one word” (Peac-ham, 1577). We can see this cultural rehydration operating in the nineteenth-century critic Thomas Babington Macaulay as he reviews the seventeenth-century John Bunyan's *Pilgrim's Progress* in 1830:

There is no ascent, no declivity, no resting place, no turn-stile, with which we are not perfectly acquainted. The wicket-gate and the desolate swamp which separates it from the City of Destruction, the long line of road, as straight as a rule can make it, the Interpreter's house and all its fair shows, the prisoner in the iron cage, the palace, at the doors of which armed men kept guard, and on the battlements of which walked persons clothed all in gold, the cross and the sepulchre, the steep hill and the pleasant harbour, the stately front of the House Beautiful by the wayside, the low green valley of Humiliation, rich with grass and covered with flocks, all are as well known to us as the sights of our own street.

Bunyan does not, in fact, fill in the details of these sites, but Macaulay *sees* them; his “perfect acquaintance” is triggered by a specific familiarity with general terms rather than through a new encountering of specific terms. It is the nineteenth century that filled in the details of visual space, that crawled lovingly over the minute surfaces of things and found meaning in difference rather than universality.

CHANGING ATTITUDES TOWARD DESCRIPTION

In the mid-eighteenth century, Jean-François Marmontel had complained in the

Encyclopédie (1751–72): “What we call to-day, in Poetry, the descriptive genre was not known by the Ancients. It is a modern invention, of which, it seems to me, neither reason nor taste approve” (qtd. in Hamon). He was voicing the distrust of detail, of surface, of surplusage. Yet by the late eighteenth century in England the rhetorician Hugh Blair was addressing the “considerable place” that description now did and *should* occupy in poetry and literature more generally, and that description *depended* on the precision and connection of its details: “No description, that rests in Generals, can be good. For we can conceive nothing clearly in the abstract; all distinct ideas are formed upon particulars” (*Lectures on Rhetoric and Belles Lettres*, 1783). William Blake (1727–1857), rather more bluntly, declared: “To Generalize is to be an Idiot. To Particularize is the Alone Distinction of Merit . . . Singular & Particular Detail is the Foundation of the Sublime” (from Blake’s copy of *Works of Sir Joshua Reynolds*). In the early nineteenth century, William Hazlitt declared that “the greatest grandeur may co-exist with the most perfect, nay with a microscopic accuracy of detail” (“On Certain Inconsistencies in Sir Joshua Reynolds’ Discourses,” in *Collected Works*, 1903). For Henry James, it is the surface which is the substance, and “to ‘render’ the simplest surface” is the complicated artistic obligation of the writer.

This shift in attitude toward description, from “surplusage” and “ornament” to a faith in particulars as renderings of reality, emerged from a century devoted to developing and polishing detailed descriptions in venues outside the literary. As travel in Britain became easier and cheaper in eighteenth-century Britain, country houses, such as Mr. Darcy’s Pemberley in Jane Austen’s *Pride and Prejudice* (1797), became tour destinations, and house guides were written and sold detailing their gardens, artwork, rooms,

and furniture. Increased trade from an expanding empire poured all kinds of new goods into the market. Auctions—art and household—became hugely popular, and their catalogues necessarily marked “recognizable features and characteristic marks,” as the *Oxford English Dictionary* would say, of the objects for sale. Furniture and porcelain makers, such as Thomas Chippendale (1718–79) and Josiah Wedgwood (1730–95) produced detailed catalogues for their wares. Newspaper advertisements grew more fulsome. And the rise of empirical science generated a new interest in surfaces and subsurfaces; scientific description accompanied detailed engravings to render the macro- and microscopic worlds visible. All such nonliterary description nonetheless invited imaginative habitation, or picturing other worlds: someone else’s house; my house with new things; the life of a louse (as in Robert Hooke’s 1665 *Micrographia*). And so the novel, with a history of ingesting any neighboring genres for increased energy and pulse, gradually incorporated detailed visual description into its spaces.

It is perhaps not surprising, then, that that which received most descriptive attention in eighteenth-century novels were *things*; pragmatographia would be the dominant descriptive form. Clothes, for example, feature largely in early novels as signifiers of status, real or assumed. In Defoe’s *Roxana* (1724), this “fortunate mistress,” for example, lavishly details the Turkish costume (replete with faux diamonds) she dons at a ball she hosts, in which she displays her “Man-Woman” power and earns her sobriquet (her real name, we learn, is Susan). Samuel Richardson, in his third novel *Sir Charles Grandison* (1753–54), has his heroine Harriet detail with delight her new surroundings as Lady Grandison: “The best bed chamber adjoining, is hung with fine tapestry. The bed is of crimson velvet, lined with white silk; chairs and curtains of the

same.” She goes on for pages about fabrics and colors and textures and furniture. It’s not surprising that some critics have compared the novel to a country house guide (Kelsall). But Richardson, always with a key eye toward the reading market, was simply among the first to absorb the precisely visual into novelistic narrative.

Nineteenth-century novels tended to fasten even more familiarly and fully on the particulars, the surfaces, the visual detail in comprehensive context. The representation of experience became more consciously, sensuously whole; the narrator rather than the reader supplied the missing bits of sight or sound or texture or scent or a fine register of emotion—what Roland Barthes has called “the ‘coenesthesia’ of substance—its undifferentiated mass of organic sensation” (1965, “Objective Literature,” in *Two Novels By Robbe-Grillet*, trans. R. Howard, 15). Gustave Flaubert in *Madame Bovary* (1857) famously merges Emma’s body into the landscape after her first lovemaking with Rodolphe:

The shades of night were falling; the horizontal sun passing between the branches dazzled the eyes. Here and there around her, in the leaves or on the ground, trembled luminous patches, as if humming-birds flying about had scattered their feathers. Silence was everywhere; something sweet seemed to come forth from the trees. She felt her heartbeat return, and the blood coursing through her flesh like a river of milk. Then far away, beyond the wood, on the other hills, she heard a vague prolonged cry, a voice which lingered, and in silence she heard it mingling like music with the last pulsations of her throbbing nerves. Rodolphe, a cigar between his lips, was mending with his penknife one of the two broken bridles. (1965, trans. Paul de Man, 2:9)

It is as if silence itself is made visible, tactile. And into the early twentieth century, the “modernist” Virginia Woolf stretches this synesthetic description to collapse more

fully the boundaries between consciousness and world, between inside and outside, between thought and sensation, between past and present, as in Clarissa Dalloway’s moment in a flower shop:

There were flowers: delphiniums, sweet peas, bunches of lilac; and carnations, masses of carnations. There were roses; there were irises. Ah yes—so she breathed in the earthy garden sweet smell as she stood talking to Miss Pym who owed her help, and thought her kind, for kind she had been years ago; very kind, but she looked older, this year; turning her head from side to side among the irises and roses and nodding tufts of lilac with her eyes half closed, snuffing in, after the street uproar, the delicious scent, the exquisite coolness. (1925, *Mrs. Dalloway* Pt. 1)

Woolf’s long, fresh sentences, rather like Twain’s, draw on the physical senses of sight, sound, scent, touch to infuse the present with the past, the inanimate flowers with animate images, the repetition of lists with the energy of motion.

DESCRIPTION IN THE TWENTIETH CENTURY: REVULSION AND RETURN

But later in the twentieth century a sort of revulsion against thick description choked the critics. Georg Lukács, in “Narrate or Describe?,” found the surface-obsessed literature of the late nineteenth century a bourgeois compensation for “the epic significance that has been lost”; while narration “establishes proportions” and events reveal character, “description merely levels.” José Manuel Lopes notes that the Russian formalists paid little attention to the matter, nor did the Anglo-American New Critics, while the discourse linguists of the 1970s and 1980s, by grouping narrative with “foreground” and description with “background” on the

figure-ground opposition of gestalt theory, tended to “perpetuate the notion of literary description as mere background” (9–10, 3). Many twentieth-century American novelists in particular were known for their spare prose, their almost seventeenth-century evocations, such as J. D. Salinger in *The Catcher in the Rye* (1958): “Anyway, it was December and all, and it was cold as a witch’s teat, especially on top of that stupid hill”; or William Faulkner in *The Sound and the Fury* (1929): “We went along the fence and came to the garden fence, where our shadows were. My shadow was higher than Luster’s on the fence. We came to the broken place and went through it.”

Of course, novelists often don’t pay any attention to critics, and surfaces resurfaced—almost violently in their very stasis—in the *nouveau roman* of Alain Robbe-Grillet and others. Robbe-Grillet, rather like Samuel Richardson two hundred years earlier, was ridiculed for his exhaustively precise descriptions that seemed to rival the French record books of county property lines: “Starting from this clump of trees, the patch runs downhill with a slight divergence (toward the left) from the greatest angle of slope. There are thirty-two banana trees in the row, down to the lower edge of the patch” (1957, *Jealousy*, trans. R. Howard). But Robbe-Grillet, unlike Richardson (or Bunyan, or Defoe, or Eliot, or Flaubert), does not see the detail as flush with meaning. As Barthes explains: “The scrupulosity with which Robbe-Grillet describes an object has nothing to do with such doctrinal matters: instead he establishes the existence of an object so that once its appearance is described it will be quite drained, consumed, used up” “Objective Literature,” (13) In the *nouveau roman*, the lavish supply of surfaces is meant less to heighten significance than to disintegrate coherence.

Novelistic description regained critical and practical popularity in the late twentieth

century, featuring prominently in the work of contemporary novelists such as Nicholson Baker and David Foster Wallace. In the 1980s, Gérard Genette and Philippe Hamon, among others, brought description back to the center of critical interest, Genette arguing that description is in fact more indispensable than narration because it is easier to describe without narrating events than to narrate without description. Description regained some of its nineteenth-century glamour—yet with a very much postmodern glamour, more heroin-chic than velvet elegance.

It is, of course, virtually impossible to successfully generalize about novelists, each of whose work constitutes a separately run universe. The differences between early eighteenth-century writers can be as vast as between a seventeenth- and a nineteenth-century novelist. But whether the description is spare or lush, generated by verbs or settling across paragraphs, the intent is the same. In the words of Macaulay (1830, “John Bunyan”): “This is the highest miracle of genius,—that things which are not should be as though they were,—that the imaginations of one mind should become the personal recollections of another.”

BIBLIOGRAPHY

- Aristotle (1984), *Poetics and Rhetoric*, in *Complete Works of Aristotle*, vol. 2, trans. J. Barnes.
- Auerbach, E. (1953), *Mimesis*, trans. W.R. Trask.
- Beaujour, M. (1981), “Some Paradoxes of Description,” *Yale French Studies* 61:25–59.
- Christ, C.T. (1975), *Finer Optic*.
- DuBois, P. (1982), *History, Rhetorical Description, and the Epic from Homer to Spenser*.
- Ehrenpreis, I. (1974), *Literary Meaning and Augustan Values*.
- Genette, G. (1982), *Figures of Literary Discourse*, trans. Alan Sheridan.

- Graham, J. (1966), "Character and Description in the Romantic Novel," *Studies in Romanticism* 5: 208–18.
- Hagstrum, J.H. (1958), *Sister Arts*.
- Hamon, P. (1981), "Rhetorical Status of the Descriptive," trans. Patricia Baudoin, *Yale French Studies* 61:1–26.
- James, H. (1884/1996), "The Art of Fiction," in *Narrative/Theory*, ed. D. H. Richter.
- Kelsall, M. (1993), *Great Good Place*.
- Lopes, J.M. (1995), *Foregrounded Description in Prose Fiction*.
- Lukács, G. (1936/1970), "Narrate or Describe?," in *Writer and Critic and Other Essays*, ed. and trans. A. Kahn.
- Mitchell, W.J.T. (1986), *Iconology*.
- Race, W.H. (1993), "Ekphrasis," in *New Princeton Encyclopedia of Poetry and Poetics*, ed. A. Preminger and T.V.F. Brogan.
- Schor, N. (1987), *Reading in Detail*.
- Wall, C.S. (2006), *Prose of Things*.
- Webb, R. (1999), "Ekphrasis Ancient and Modern," *Word & Image* 15:7–18.

Detective Novel

STEPHEN RACHMAN

The detective novel emerged from the U.S., France, and Great Britain in the mid-nineteenth century out of a number of generic forerunners—some of long standing, others of more recent invention. As a popular form derived from the short stories of the American Edgar Allan Poe featuring the first fictional amateur detective, the Parisian C. Auguste Dupin, who first appeared in "The Murders in the Rue Morgue" (1841), its development in the English-speaking world throughout the second half of the nineteenth century and the first half of the twentieth century coincided with the rise of the short story and was intimately connected to the growth of mass-circulation magazines, especially in connection with the international success of the Sherlock Holmes stories by Arthur Conan Doyle (see

SERIALIZATION). It also contributed to the streamlining of the sprawling three-volume novels of the Victorian era into more compact, single-volume narratives. In the twentieth century the development of inexpensive mass circulation (pulp) paperbacks further expanded the market for detective novels (see PUBLISHING). While stage, film, and television adaptations have generally replaced the audience once served by the various forms of short fiction, the demand for the detective novel has grown into a global phenomenon, and detective shows of one variety or another are a staple of television worldwide (see ADAPTATION). The dissemination of the detective genre can be traced through translations of English-language classics, and by the early twenty-first century virtually every major nation and language with developed publishing industries enjoys a popular detective series in translation and produced by indigenous writers.

As Poe first described his tales as "ratiocinative," emphasizing the analytical and empirical aspects of detective fiction, "that moral activity which *disentangles*," scholars of the genre have connected it to the rise of scientific methodology. In its classic form, the crime narrative that functions as an intellectual puzzle challenging the reader to solve the crime along with a superhuman detective has been viewed alternatively as either a superficial or profound invention of modern literature. But whether championed or disparaged as a popular genre, the detective novel has proven itself to be highly adaptable. Often dismissed as overly formulaic (the fussy, idiosyncratic detective, the red herring-laden plot of suspicious characters, the explanation in which all is revealed or theatrical confession is extracted), these very features have made the genre fundamental to contemporary Western cultures and readily exportable from one culture and language to

another. If its nineteenth- and twentieth-century precedents featured elite, leisured, masculine (and typically) Caucasian detectives, then the last decades of the twentieth century saw a proliferation of ethnic, class, and sexual diversity (see RACE, SEXUALITY). A number of related genres also developed, including but not limited to hardboiled novels, spy novels, police procedurals, true-crime novels, and *roman noir* (which, like its more familiar cousin *film noir*, uses a highly stylized vocabulary of dark and light). Detective fiction has attracted many serious novelists as well, creating sophisticated variants that paradoxically promote and call into question the conventions of the genre. It has been adapted to all major literary trends (realism, modernism, postmodernism, magical realism) and genres (adventure, horror, fantasy (see SCIENCE FICTION), historical fiction, romance, and young adult).

In addition to studies of the genre, the detective novel has also been the subject of, or impetus for, significant literary theorization, ranging from the metafictional writings of Jorge Luis Borges (see METAFICTION) to the literary psychoanalytic theories of Jacques Lacan (1901–81), the deconstructive theories of Jacques Derrida (1925–2007), and the postmodern fiction and theorizing of Carlo Ginzburg, Umberto Eco, and Donna Haraway.

SOURCES

Critics have found the constitutive elements of the genre in ancient and diverse sources such as the Bible, Chinese “magistrate tales,” and Sophocles’s *Oedipus Rex* in which the protagonist is a great solver of enigmas and also the perpetrator of the central crime. Renaissance tales of crime and criminals, known as rogues’ tales, and eighteenth-century forms of the same attracted wider

audiences through the publication of accounts of the sessions of criminal courts and the so-called gallows confessions of the condemned found in *The Newgate Calendar* (seventeenth–nineteenth centuries). With the establishment of metropolitan police departments from the second decade of the nineteenth century (chiefly in London and Paris), crime narratives were routinely reported in the newspapers and the memoirs of notorious criminals became more commonplace. Though detectives and the “science of detection” had yet to be invented, gothic fictions, advertising themselves as mysteries by Horace Walpole (*The Castle of Otranto*, 1781), Ann Radcliffe (*The Mysteries of Udolpho*, 1794), and Matthew Lewis (*The Monk*) emerged in the late eighteenth century and often featured criminal subplots and individuals unwittingly thrust into the role of investigator. William Godwin’s *Caleb Williams* (1794), with its title character being framed for theft and its plot of suspicion and retribution, is frequently noted as a harbinger of the form, as are the early American novels of Charles Brockden Brown, especially *Arthur Mervyn* (1799). In France *Zadig, ou le Destinée* (1748, *Zadig, or Destiny*) by Voltaire (pseud. of François-Marie Arouet) is often cited as a precursor for the way in which its title character uses techniques of empiricism and logical inference in tracking down a missing horse. Mystery-oriented English and French novels featuring criminal plots became more commonplace during the first half of the nineteenth century. Charles Dickens’s *Oliver Twist* (1838), set in London’s criminal underworld, and *Bleak House* (1856) derive in many ways from his reportage often focused on London courts and prisons, and led to the form of mystery termed “sensation” fiction pioneered by Dickens’s associate Wilkie Collins in *The Moonstone* (1867).

The appearance of the *Memoirs* (1828) of Eugène-François Vidocq, a one-time criminal mastermind who became the first chief of the Sûreté, the metropolitan police force of Paris, led to the development of the *roman policier*, novels of policing told from the point of view of the inspector. *Le Père Goriot* (1835, *Old Goriot*) by Honoré de Balzac features Vautrin, a character based on Vidocq. Exploiting similar terrain, *Les mystères de Paris* (1845, *The Mysteries of Paris*) by Eugène Sue offered readers serialized narratives of byzantine complexity threading their way through metropolitan criminal labyrinths, a template that was soon emulated in Great Britain by George Reynolds and in the U.S. by George Lippard. Victor Hugo's *Les Misérables* (1867) explored this figure also, in the character of the relentless Inspector Javert.

In creating Dupin, Poe incorporated many of these elements into the first detective fiction: the metropolitan setting, the violent crime scene in an apparently locked room, the vain, befuddled law-enforcement official, the wronged suspect, the confession, the cleverly convoluted solution with an exotic perpetrator, the class antagonisms implicit in the genteel detective's apprehension of the violent working-class criminal, and the masculine camaraderie of a supercilious gentleman mastermind and his credulous companion/narrator. By the second tale, "The Mystery of Marie Roget" (1843), Poe had Dupin attempting to solve an actual mystery—the disappearance of Mary Rogers from New York City—in fictional guise. By the third tale, "The Purloined Letter" (1845), pipe-smoking and an uncanny antagonist made their appearance. In these three stories, Poe offered, in Terence Whalen's estimation, "a genre in miniature" (226). Poe had given the form its initial shape and created its first great detective. These elements found in Poe were picked up

most swiftly in France, chiefly through Emile Gaboriau, whose *Monsieur Lecoq* (1868) represents the first instance of the full-length detective narrative, and as such the invention of the detective novel proper. In the U.S. during the 1870s, "Old Sleuth" began to appear as a detective figure in dime novels catering to working-class audiences. Allan Pinkerton, the founder of the Pinkerton Detective Agency, began to publish ghostwritten "real-life" detective novels, and with *The Leavenworth Case* (1878), Anna Katherine Green established a more melodramatic form of the detective novel, in which the analytical frame serves to cast suspicion in all directions on a broad array of suspects, a technique that would influence many authors, notably Agatha Christie, giving rise to the "whodunit."

But the features of Poe's tales of ratiocination were most thoroughly absorbed and generally expanded upon by Conan Doyle in creating Sherlock Holmes, Dr. John H. Watson, and his arch-nemesis, Professor Moriarty, during the last two decades of the nineteenth century. From *A Study in Scarlet* (1887) to *The Hound of the Baskervilles* (1901) and the shorter adventures published in *The Strand Magazine*, Doyle popularized the idiosyncratic detective as no one had before. Where Poe shrewdly observed that there was more "air of method than method" in the Dupin stories, Doyle, through the figure of Holmes, gave that air of method an unprecedented fictional depth. Holmes personified the "scientific method" of detection in his lean, angular form, his mastery of chemistry, forensics, disguise, and his exhaustive knowledge of Victorian criminology. If Dupin was associated with Parisian mystery, then Holmes doubly intensified his association with London, making fictional locations (e.g. 221B Baker Street) part of London's actual geography. In the Sherlock Holmes stories, Doyle achieved a formulaic

model of detection in which the analytical, deductive, and puzzle aspects of the detective novel combined with adventure (often accompanied by a sidekick) so successfully that it superseded other forms of mystery and crime fiction, inaugurating what is generally referred to as the “Golden Age” of detective fiction, and influencing the spy novel and virtually any other kind of narratives involving investigative pairs. Legions of imitators and innovators followed, notably R. Austin Freeman and his detective, the forensically obsessed Dr. Thorndyke, as well as G.K. Chesterton and his detective, the empirically minded Father Brown. Subsequent generations produced many notable sleuths in this mold: John Dickson Carr’s Dr. Fell, Rex Stout’s Nero Wolfe, Dorothy L. Sayers’s Lord Peter Wimsey, and Christie’s Hercule Poirot, to name but a few.

GENERIC DEVELOPMENTS

Just as Poe found it convenient to adapt the culture of detection to a fictional Paris, the detective novel proved itself equally flexible, producing a number of significant generic innovations. In 1896, Mark Twain (pseud. of Samuel L. Clemens) produced one of the earliest juvenile detective novels, *Tom Sawyer, Detective*. While Twain also satirized the violence of Doyle’s Sherlock Holmes in “A Double-Barreled Detective Story” (1902), he readily adapted the form to his juvenile heroes, reprising Huckleberry Finn from his masterpiece, *The Adventures of Huckleberry Finn* (1885), now in the narratological guise of a Mississippi Dr. Watson, chronicling the deductive feats of Tom Sawyer. Twain prefaced the story with a note implying that his detective novel was adapted from older reports of a Swedish criminal trial, suggesting how the form could be easily translated from one culture, country, and genre to another

(see INTERTEXTUALITY). German children’s author, Erich Kästner, whose popular *Emil und die Detektive* (1928, *Emil and the Detectives*), the *Hardy Boys Mysteries* series (1927–) and the female counterpart, the *Nancy Drew Mystery Series* (1930–) continued in this genre, often emphasizing themes of childhood, adolescence, and the relation of children to corruption and an awareness of the adult world.

In the U.S., the development of the “hardboiled” detective novel or crime fiction after WWI was, as Charles J. Rzepka has noted, “conceived in part as a direct challenge to the Anglo-American classical tradition inspired by Holmes,” but like its forerunners, it was pioneered in short fiction formats (179). Rejecting the genteel diction and milieu of its predecessors, the hardboiled detective novel frequently featured morally ambiguous “tough-guy” detectives who tended to subsume the puzzle/deductive aspects of their cases in tense, adventure-filled situations. Popular inexpensive story magazines known as “pulp,” directed at the working classes, had largely replaced dime novels and gained wide readership. *Black Mask*, founded in 1920, became the chief organ for the hardboiled style, featuring such contributors as Dashiell Hammett, Erle Stanley Gardner, and Cornell Woolrich. Hammett, whose five detective novels include *The Maltese Falcon* (1930), featuring Sam Spade, also created the Continental Op and the sophisticated Nick and Nora Charles, and did more than any other author to establish the hardboiled genre. Raymond Chandler, whose detective, Philip Marlowe, first appeared in *The Big Sleep* (1939), offered a version of the hardboiled detective as a modern knight errant. In “The Simple Art of Murder” (1945), an essay on hardboiled detective fiction, Chandler explained in an oft-quoted statement, “Down these mean streets a man must go

who is not himself mean, who is neither tarnished nor afraid." The impact of hard-boiled can hardly be overstated. Its idioms and conventions have been adapted globally and have in many ways supplanted the classical detective form.

After WWII, Mickey Spillane, whose popular, sadistic detective Mike Hammer, and Ross MacDonald (pseud. of Kenneth Millar), whose gentler, more psychologically subtle detective, Lew Archer, seemed to embody the poles of conservative and liberal consciences in the Cold-War Era, achieved new levels of popularity. Inspector Maigret, created by the Belgian author writing in French, Georges Simenon, also reflected an intensifying interest in criminal psychology and the psychological in general.

Since the 1970s the development of ethnically diverse detectives has marked the detective novel. Where once ethnicity was a stereotypical or racist mark of difference (e.g. Charlie Chan or Mr. Moto), contemporary detectives such as the black detective Ezekiel "Easy" Rollins, who first appeared in Walter Mosley's *Devil in a Blue Dress*, navigates the African American terrain of South-Central Los Angeles from within. Hardboiled female detectives from Sara Paretsky's Polish American daughter of a Chicago cop, V. I. Warshawski to Sue Grafton's weightlifting "tough-girl" Kinsey Millhone have proliferated. Tony Hillerman's Navajo detectives and C. Q. Yarbro's Ojibway investigator, Charlie Spotted Moon, reflect the way this trend has extended the detective novel beyond its original terrain. The postmodern detective novel, exemplified by Paul Auster in his *New York Trilogy* and Umberto Eco in *Il nome della rosa* (1983, *The Name of the Rose*), has inverted the genre by calling into question the very conventions of detection, analysis, and imaginative reconstruction, offering readers the mystery of

solutions rather than mere solutions to mysteries.

SEE ALSO: Censorship, Decorum/Verisimilitude, Dialect, Frame, Melodrama, Naturalism.

BIBLIOGRAPHY

- Cawelti, J.G. (1976), *Adventure, Mystery, and Romance*.
- Cawelti, J.G. (2004), *Mystery, Violence, and Popular Culture*.
- Halttunen, K. (1998), *Murder Most Foul*.
- Haycraft, H. (1941), *Murder for Pleasure*.
- Landrum, L. (1999), *American Mystery and Detective Novels*.
- Messent, P., ed. (1997), *Criminal Proceedings*.
- Most, G. and W. Stowe, eds. (1983), *Poetics of Murder*.
- Panek, L.L. (2006), *Origins of the American Detective Story*.
- Nickerson, C.R. (1998), *Web of Iniquity*.
- Marling, W. (1995), *American Roman Noir*.
- Merivale, P. and S. E. Sweeney, eds. (1999), *Detecting Texts*.
- Rzepka, C.J. (2005), *Detective Fiction*.
- Whalen, T. (1999), *Edgar Allan Poe and the Masses*.

Determinism see Naturalism

Development, Novel of see Bildungsroman/Künstlerroman

Dialect

ERIK REDLING

As subdivisions of a language, different dialects (e.g., Cockney) are to a large extent mutually intelligible, but different languages such as English and French usually are not. However, originally, a standard language was often just one of the dialects that happened to be institutionalized as the standard or NATIONAL language for a number of

political and social reasons and thus became more prestigious than the other dialects. But once a dialect is institutionalized, it loses its REGIONAL connotations because it is spread throughout the whole country and becomes the language taught in school, which is used for practically all scholarly, scientific, and literary writing and general public communication because of its non-regional basis (Baugh/Cable; Trudgill). At certain times or in certain communities where there never was such a written standard language, texts were written in the dialect spoken by the writer and usually displayed variable spellings of words: for instance, the noun “candle” was spelled as “kandel,” “candel,” and “candell” in the Middle English period (“Candle”). The rise of written standard languages created a challenge for dialect writers because they had to motivate or even justify their use of writing in a dialect, either by specifically limiting their addressees to dialect speakers or by insinuating that what they were trying to express could not be expressed equally through the standard language. “Writtenness” thus became the main distinguishing factor between a dialect and a national language in their literary use. In an effort to render the “orality” of a dialect variety in writing, dialect writers were not able to resort to an established dialect orthography but had to rely on an orthography derived from the standard language and transform conventionally spelled words via respellings (e.g., “lafft” for “laughed” and “kyared” for “carried”), or via the use of the apostrophe (e.g., “eve’ybody” for “everybody” and “sump’n” for “something”), and nonstandard grammatical features (e.g., “I is”). Also, the specific meaning of dialect vocabulary often had to be guessed from the context.

Over time dialect writers have assembled a number of techniques in order to create what can be called a “dialect effect”: some authors use a few common dialect features

(e.g., “de” for “the”) to indicate a dialect; others simply mix a number of dialect features without having a specific dialect in mind; while some authors carefully devise a systematic written dialect even though they know that such an effort is ultimately doomed to failure since a conventional orthography is not an accurate phonetic system in the same way as the International Phonetic Alphabet (IPA). Frequently dialect authors juxtapose a written standard with a dialect within their writing to indicate differing or contrasting social, linguistic, geographic, and ethnic backgrounds of their characters. One specific feature of dialect writing that can be traced back to the early Middle Ages has been the use of dialect as a comic device (Blake). Authors furthermore employed standard-dialect juxtapositions as a literary method to portray dialect speakers as exhibiting a sense of community and companionship, intimacy, special charm or humor, and traditional knowledge and ways of thinking, but also of backwardness, provinciality, and intellectual narrowmindedness (Goetsch, 11).

A more recent use of the dialect vs. standard confrontation arose in the depiction of colonial situations in which authors regard a national language as an official language imposed on their culture and discourse by a dominant (foreign) power. Instead of accepting the linguistic supremacy uncritically, they “write back” (Ashcroft et al.) in their own postcolonial dialect voice (e.g., Haitian Creole). The experience of linguistic imperialism inspires them to establish a contrast, confrontation, or clash between the uniform spellings of a national language and the nonstandard orthography of a dialect language in order to insinuate different views, ethnicities, individuality, and a self-reliant spirit in the face of a hegemonic and homogenous language, and to reject submission to foreign views and norms or

disprove prejudices against dialect speakers (see LINGUISTICS).

In all of these cases the written dialect produced by a dialect writer will be an individual mixture of elements of the standard language and “transcribed” dialect words. The reader thus will have to interpret whether the mixture is used to introduce a regional perspective into a literary work with which authors intend to reaffirm or criticize the hierarchical relation between a prestigious and culturally dominant standard orthography and a written dialect. Some of the issues mentioned above have been present from the beginnings of dialect writing; others have been added more recently. I shall only be able to touch on them from a historical and a thematic perspective and discuss significant literary functions of dialect in terms of society or community, i.e., the societal impact of “visual alterity” between a written standard and a written dialect language, and shall not concentrate on dialectal accuracy with regard to the regional speech, which was the objective of linguistic approaches to dialect (cf. Ives; Wolfram and Schilling-Estes). While not being able to include examples from many languages, I shall illustrate the spectrum of dialect use instead of aiming at completeness in representation.

As mentioned above, early dialect writers mainly used dialect as a comic device (see COMEDY). Haller reports on the function of dialect in the Italian city-states as a variety of literary endeavors during the Renaissance and baroque periods, but primarily in the function of PARODY and humor. He mentions that Ruzante parodied the manners of country folk in his Renaissance plays, but adds that such humorous plays in fact paved the way for the fixation of characters in the later national tradition of *commedia dell'arte* (Haller, 17). During the English Renaissance period, dialect authors, who could already rely on a national language,

also used the contrast between a written standard and a literary dialect for humorous purposes. Renaissance dialect writing in Britain, for instance, offered “jokes” that were usually based on the juxtaposition of a rural English dialect and a King’s English speaker or on a provincial speaker (or foreigner) who could not properly pronounce Standard English (Blank, 3).

Subsequently, dialect writing gained influence during the nineteenth century. American writers of the “Southwestern Humor” tradition in the pre-Civil War and post-Civil War U.S. (1861–65) expanded the dialect-standard opposition into a framing narrative device (standard-dialect-standard) that allowed them to lock a long dialect section—the visual “other”—within two framing standard-English sections (see FRAME). Typically, the standard-speaking narrator is an educated upper-class person who closely observes and reports on the “humorous” ways and practices of the uneducated rustic frontier characters in the “Old Southwest” (present-day Georgia, Tennessee, Alabama, Mississippi, Louisiana, Arkansas, and Missouri). A pioneer and influential representative of this genre of dialect writing is Augustus Baldwin Longstreet, from Georgia, whose collection *Georgia Scenes* (1835) featured sketches such as “The Horseswap,” “The Gander Pulling,” and “The Shooting Match,” which exhibited frontier themes as well as caricatures of the stereotypical frontiersman and yeoman and illustrated the writer’s attempts at realistic depictions of rural American landscapes (Minnick, 4–5). Other writers of this dialect humor genre were William Tappan Thompson, George Washington Harris, Thomas Bangs Thorpe, and Johnson Jones Hooper. Following in their footsteps, Mark Twain developed his humorous sketches and short stories (e.g., 1865, “The Jumping Frog of Calaveras County”) and explored the use of dialect as a REALISM device in his literary

works of art (e.g., the Black English spoken by Jim in *Huckleberry Finn*, 1885).

The framing narrative device additionally enabled white dialect writers to enforce racist attitudes against African Americans through dialect fiction. The Southern writers of the so-called “plantation school” yearned for the good old days “befo’ de wah” and employed the genre to promote a romantic portrait of the Old South. In Thomas N. Page’s story “Marse Chan” collected in *In Ole Virginia* (1887), a standard-speaking genteel narrator rides on a horse and meets the dialect-speaking ex-slave Sam who tells him a story about the heroic and honorable deeds of his “marster” before and during the Civil War. The dialect consists of a hodgepodge of bizarre misspellings (e.g., “ev’vywhere”), linguistic irregularities (e.g., two different spellings of “nothing” that indicate a difference in phonology: “nuthin” and “nuffin”), and visually disjointed words (e.g., “ev’y’where”) and represents a “strange talk,” i.e., an English spoken by illiterate African Americans who literally disfigure the English language and thus threaten the “purity” of the standard (Jones). In contrast, the African American writer Charles W. Chesnutt redefined the same conventional framing device as the coexistence of the notions “polarity” (standard vs. dialect, racial hierarchy) and “hybridity” (mixed dialect, ethnic mixture) and subverted the repressive mechanism of the framing device by favoring “mixture” and perceiving dialect as a symbol of hybridity, not as corrupted Standard English (Redling).

During the period of literary realism, dialect writing played an important role in advancing “realism” in literature by paying attention to the evolving ethnic and linguistic diversity in Europe and America. In the U.S., the rise of local color stories coincided with the rise of women dialect writers in a previously male-dominated genre. Women writers portrayed different localities and dialects in their fiction: e.g., Mary E. Wilkins

Freeman and Rose Terry Cooke’s New England dialect, Kate Chopin’s Creole patois, and Harriet Beecher Stowe’s black vernacular (Minnick, 7–8). Other representatives of the trend toward a “realistic” depiction of regional speech are George Washington Cable, whose “polygraphic” New Orleans novel *Dr. Sevier* (1883) manifests at least five different language varieties or “grapholects” such as Louisiana Creole French and English with a strong German accent; Mark Twain’s portrayal of Southern and black dialects in *Huckleberry Finn*; and Stephen Crane’s rendering of uneducated, low-class New York dialect speech in *Maggie: Life in the Streets* (1893). A similar rise of regional dialects in late nineteenth-century literature occurred in European countries such as England, France, Germany, and Italy, especially with the emergence of social realism in which authors enhanced their descriptions of the hard lot of industrial workers and the migration of poor country people into the cities with “realistic” depictions of their local dialects (e.g., the French working-class dialect in Emile Zola’s *Germinal*, 1885, and the Silesian dialect in Gerhart Hauptmann’s play *Die Weber* (1893, *The Weavers*).

A prioritization of regional vernacular speech rather than the national standard language occurred in Germany during the so-called *Heimatkunstbewegung* (“homeland art movement”) between 1890 and 1918. It displayed an anti-urban, anti-modern, anti-rational, and anti-intellectual tenor and achieved its anti-industrialization impact by sentimentalizing the *Heimat* (“homeland”) or the provincial life through dialects in prose and poetry as well as in plays, such as in the social-critical Low German plays written by Fritz Stavenhagen (e.g., *Mudder Mews*, 1904) and Hermann Boßdorf (e.g., *De Fährkrog*, 1918) or in Artur Dinter’s Alsatian comedy *d’Schmuggler* (1905). With its emphasis on the virtues of rural life and language, the *Heimatliteratur* (“homeland literature”)

prepared the stage for the anti-Semitic *Blut und Boden* (“blood and soil”) literature popularized by writers such as Richard Walther Darré (*Neuadel aus Blut und Boden*, 1930) during the period of National Socialism (1933–45 Dohnke 1996).

The post-WWII rise of liberation movements in Africa and Asia and in the Caribbean allowed these new nations to establish their own language, but the choice was difficult because the political territory included many ethnic groups and languages so that frequently the language of the former colonial power—English, French, or Portuguese—served as an umbrella language. The dialect writers’ new task was often to rewrite colonial history from the colonized people’s point of view (a good example of an anti-imperialist rewriting is the Dominica-born Jean Rhys’s *Wide Sargasso Sea*, 1966, which is a pseudo-sequel to Charlotte Brontë’s *Jane Eyre*) and represent their own culture through their dialect or in a dialect-official language mix. Some writers use a standard language throughout their work and insert single words, phrases, and perhaps short passages in a different linguistic variety (e.g., African languages). Others use a standard language for the narrative and vernacular language for the dialogue, and again others use a modified vernacular in the whole work (e.g. V. S. Reid’s use of the Jamaican vernacular in the first two parts of his novel *New Day*, 1949). Dialect-standard writers have often received international reputations, such as V. S. Naipaul (of Indo-Trinidadian ancestry), who embeds regional speech and people within an easily understandable Standard English narrative (Blake). The trend is toward using the standard language throughout a literary work and inserting variants from local dialects in order to achieve easy readability and still incorporate a sensitivity to the dialect and the portrayal of local people. Examples of this tendency in contemporary literature are the English-writing Zimbabwean writers such as

Yvonne Vera, Edward Chinhanu, and Shimmer Chinodya.

The fact that Standard English is the language variety of most educated people within the English-speaking world promotes such a preferred use of Standard English (in its various standard varieties) in literature to achieve a worldwide readership, but dialect writers frequently enrich it with local dialect words or phrases. Contemporary African American writers such as Toni Morrison, for instance, have reduced the initially strong reliance on dialect speech (e.g., Paul Laurence Dunbar and Zora Neale Hurston) and opt instead for interspersed tonal, verbal, and grammatical adjustments within a by and large written standard in order to draw attention to the black oral tradition and their different ethnic background. In other languages in which dialect is still regionally strong, such as German or Italian, it is still used for humor and local color in the presentation of regional cultural traditions. There the standard language is still felt to address differing realms than the dialect, which retains its literary niches (e.g., local “oral” poetry). Overall, dialect has served literature for many centuries as an important way to advance linguistic and cultural diversity and voice the concerns of people, their resistance to foreign powers, their demands for ethnic and religious and cultural recognition, and their contribution to their national culture through new ideas, new genres and literary trends, typically by demonstrating their different views through literary dialects.

SEE ALSO: Class, Dialogue, Discourse, Editing, Naturalism, Reading Aloud

BIBLIOGRAPHY

Ashcroft, B. G. Griffiths, and H. Tiffin (2002), *Empire Writes Back*.

- Baugh, A.C. and T. Cable (2002), *History of the English Language*.
- Blake, N.F. (1981), *Non-Standard Language in English Literature*.
- Blank, P. (1996), *Broken English*.
- "Candle" (1992), *Oxford English Dictionary*, 2nd ed. CD-ROM.
- Dohnke, K. (1966), "Völkische Literatur und Heimatliteratur 1870–1918," in *Handbuch zur "Völkischen Bewegung" 1871–1918*, ed. U. Puschner, W. Schmitz, and J.H. Ulbricht.
- Goetsch, P. (1987), "Foreword," in R. Mace, *Funktionen des Dialekts im regionalen Roman von Gaskell bis Lawrence*.
- Haller, H.W. (1999), *The Other Italy*.
- Ives, S. (1971), "A Theory of Literary Dialect," in *A, Various, Language*, ed. J.V. Williamson and V.M. Burke.
- Jones, G. (1999), *Strange Talk*.
- Minnick, L.C. (2004), *Dialect and Dichotomy*.
- Redling, E. (2006), "Speaking of Dialect."
- Trudgill, P. (2004), *Dialects*, 2nd ed.
- Wolfram, W. and N. Schilling-Estes (2006), "Written Dialect," in *American English*, 2nd ed.

Dialogism see Bakhtin, Mikhail

Dialogue

BRONWEN THOMAS

Most novels feature scenes of interaction between characters where the role of the narrator as a controlling presence is at a minimum. Such scenes are vital for characterization and building a sense of the relationships between characters. They also help to advance the plot, set the scene for the reader, and break up the tempo and pace of the narrative (see NARRATIVE TECHNIQUE). The direct representation of character speech has been crucial in opening up the novel to new voices, e.g., regional DIALECT and working-class speech in the nineteenth-century novel, or creoles and pidgins in postcolonial fictions. Studies of speech in the novel have provided exhaustive accounts of the sheer number of linguistic varieties that have been incorporated into the novel, and have raised

important questions about the extent to which such representations aim for realism. Studies of fictional dialogue draw more explicitly on linguistic (see LINGUISTICS) models of conversational interaction to focus on the interplay and power dynamics between participants, and to evaluate how far such representations may be described as dialogic in Mikhail BAKHTIN's sense of the word. Analysis of speech-in-interaction in the novel increasingly engages with philosophical and ideological notions of dialogue in an attempt to understand how far "the idea of dialogue" may be both normative and culturally inscribed.

HISTORY AND FORM OF DIALOGUE IN THE NOVEL

In the eighteenth- and early nineteenth-century novel, the conventions for representing character speech were not yet fully stabilized (Ree). Quotation marks could be used for both indirect and direct representations (Sternberg), while in the novels of Jane Austen it is common to find that what appears to be a single speech event bounded by quotation marks is in fact a conflation of several utterances (Page). It is not until the Victorian novel that the conventions become more "fussy" (Ree), helping to perpetuate a notion of the speech of an individual as his or her private property (see TYPOGRAPHY).

Later novelists continued to chafe against some of these conventions: the modernist writer James Joyce rejected quotation marks as an "eyesore," preferring more unobtrusive dashes instead, while Portuguese author José Saramago dispenses both with quotation marks and line breaks, making it even more difficult to distinguish between character speech and the surrounding narrative. Such techniques work against the notion that character speech is separated off from the narrative discourse as though by some

impermeable border, and that direct speech offers the reader privileged access to the words of the characters untainted by the narrator's interventions.

Many of the conventions for the representation of speech in the early novel were influenced by theatrical practices and traditions. Daniel Defoe set out his dialogue in dramatic form, while many other early novelists in the English tradition, such as Henry Fielding, made their names writing for the stage before they turned to prose fiction. Conventions for the representation of speech in the novel have thus been influenced by the need to compensate for the absence of paralinguistic cues and the physical presence of the actors. Dialogue in the novel is thus accompanied by various kinds of "stage directions" (Page) which help to orient the reader in terms of body language, intonation, aspects of the physical environment, and so on.

In the nineteenth century, social and technological changes bringing greater mobility and speed of communication meant an increased interest in accurately charting social and regional varieties of speech. The practice of serializing novels in this period also meant a reliance on dialogue as a means of fixing characters in readers' minds, and of updating them on plot developments (see *SERIALIZATION*). Few studies of speech in the novel neglect to mention the role of Charles Dickens in providing a rich array of speech varieties for the reader to enjoy, and the fact that Dickens engaged in public performances of his work only serves to reinforce how much fictional dialogue owes to theatrical conventions and traditions.

In the twentieth and twenty-first centuries, dialogue in the novel has been influenced by the emergence of other media, notably radio, television, and film. Many novelists have written for these other media, e.g., the English comic novelist P. G. Wodehouse wrote extensively for stage and screen.

The contemporary novel continues to be fascinated by and influenced by new media, with new forms of writing such as hypertext fiction posing interesting questions for our understanding of the relationship between speech and context, where the context of utterances may be ever shifting and dependent on choices made by readers in their interactions with these texts.

Cultural histories of conversation and dialogue (Burke) remind us how far novelistic representations are shaped by, but also in turn may help shape, the norms and practices of a particular *TIME* and place (see *SPACE*). In eighteenth- and nineteenth-century novels, an obvious illustration of this is the practice of using "token speech" (Page) for taboo words and obscenities, which in turn spawned its own parodies and attempts at subversion (see *CENSORSHOP*, *PARODY*). In the early twentieth century, *PSYCHOANALYTIC* theories and the relationship between the said and the unsaid impacted the way in which modernist writers in particular experimented with the boundaries between speech and thought (see *MODERNISM*). However, novelists of the period also reacted against the Freudian notion of the "talking cure," expressing instead a suspicion of talk (Mepham), focusing on the ways in which talk could be deceptive and opaque, rather than illuminating or transparent.

During the same period, novelists such as P. G. Wodehouse and Evelyn Waugh made comic capital from foregrounding the clichés and banalities of the speech of the "Bright Young Things" of their day, in strong contrast to the kind of earnest debates and philosophical discussions of the characters in novels by their contemporaries. In this regard, the comic novel has provided an invaluable insight into, and playful subversion of, cultural norms in conversational interaction which might otherwise be taken for granted.

THE DIALOGUE NOVEL

While dialogue as a narrative device has been recognized as a defining feature of certain fictional genres, notably the DETECTIVE novel/thriller and the comic novel, the term “dialogue novel” or “novel of conversation” has emerged to account for fictions in which narrative framing is kept to an absolute minimum (see FRAME). The term may be loosely applied to any novel in which there is a high ratio of dialogue, but is usually reserved for novels where the author relies almost entirely on character speech for the “action,” and where the reader usually has to work quite hard to decipher what is going on, deprived as they are of any contextualizing cues or guidance from the narrator. In some respects the dialogue novel may appear to be aiming for greater realism by foregrounding the routine, the repetitive, and the downright banal aspects of everyday talk that may nevertheless be crucial in facilitating and maintaining communication. However, the attention to detail only seems to highlight how artificial and stylized any such representation must be, so that dialogue novels tend to be highly self-conscious and reflexive affairs.

In the English tradition, this genre is most associated with the novels of Ivy Compton-Burnett and Henry Green in the early to mid-twentieth century. In the work of these writers, the reader is thrust into scenes of dialogue with little or no orientation, while the speech of the characters and the narrative technique are often highly stylized and artificial, adding to the disconcerting effect. While such novels are concerned with exploring scenes of talk as potentially rich sources of interpersonal drama and tension, they are just as interested in experimenting with NARRATIVE STRUCTURES based on repetition and counterpoint, rather than on causal logic and progression.

In the modernist and postmodern novel, foregrounding speech and dialogue has

come to be seen as a key way for the novel to embrace new voices, and to resist closure. In this respect, even the merest hint of narratorial influence and control may be suspect. The French novelist and critic Nathalie Sarraute railed against speech tags or inquirers such as “he said,” “she said,” calling them “symbols of the old regime” for their potential to weigh down the reader and direct interpretation in a particular direction (see DISCOURSE).

The dialogue novel continues to flourish, particularly in the contemporary American novel, with writers such as William Gaddis and Philip Roth experimenting with the form. Many critics have noted that the contemporary novel has come to rely increasingly on dialogue, and that it has almost become a badge of honor for contemporary novelists to hone their technique in this direction.

Typically, the dialogue novel focuses on interactions between a closed set of characters, where the claustrophobic atmosphere evoked produces scenes of high tension. In Manuel Puig’s *El beso de la mujer araña* (1976, *Kiss of the Spider Woman*), conversations between two prisoners locked in a cell together comprise much of the action, while Nicholson Baker’s *Counterpoint* (2004) consists of a series of conversations between two men in a hotel room, as one of them tries to talk the other out of assassinating President George Bush.

There are good reasons why this kind of intimate duologue continues to dominate. Techniques for representing overlaps and interruptions in conversation remain rather crude and intrusive, and where a reader’s attention is dispersed among a group of characters, engagement with those characters may lack the intensity generated by the duologue. Nevertheless, some novelists have experimented with group talk or multi-party talk (Thomas), or have disrupted the notion that conversations operate as ‘events’

which are bounded and discrete, rather than ongoing and fuzzy around the edges.

CRITICAL STUDIES AND DEBATES

Studies of speech in the novel have provided invaluable inventories of the emergence and prevalence of linguistic varieties in the English-language novel. However, such studies rarely concern themselves with the mechanics of verbal interactions, but focus instead on describing speech varieties found within the utterances of individual characters. The analysis of speech-as-interaction in the novel owes a great deal to studies of dramatic dialogue, and to stylistic approaches which draw on tools and methods derived from the field of linguistics for the analysis of literary texts (see *SPEECH ACT*). Notably, such studies approach fictional dialogue as sequences and stretches of verbal interaction in which communication is jointly negotiated and achieved, and can be measured against certain expectations and assumptions about how conversations typically should proceed.

Such approaches have been accused of treating fictional dialogue as though it were no different from naturally occurring, or “real” speech. Debates about how far fictional dialogue should be evaluated in terms of its realism have dominated stylistic and narratological studies. To some extent, this is inevitable, as the representation of direct speech appears to present us with unmediated access to the characters’ words, to show rather than tell. However, claims about the *REALISM* of direct speech ignore both the fact that the speech is no less artificial or mediated than any other part of the narrative discourse, and that writers shape and design these stretches of talk according to their artistic vision and design.

Mikhail BAKHTIN’S studies of discourse in the novel demonstrated that it is possible to combine an exploration of the range of

different languages represented within a novel (heteroglossia) with an analysis of the social and ideological conditions in which those languages are produced and with which they intersect. Furthermore, his theories challenged the idea that character speech is somehow subordinate to, and separable from, the narrative discourse. His “dialogic principle” demonstrated that novelistic discourse is suffused with a multiplicity of competing voices, which he saw as engaging in dialogic relation with one another. Bakhtin himself was dismissive of scenes of pure dialogue, as his analysis tended to focus much more on passages where the seemingly monologic discourse of the narrator is colored by the voices and perspectives of others. Nevertheless, many of the terms and ideas that he introduced have been crucial in determining both how we conceive of “dialogue” and how we understand the ways in which character speech and narratorial discourse interpenetrate at every point.

However, some theorists have taken issue with what they see as an idealizing tendency in the work of Bakhtin and others. Drawing on philosophical and ideological conceptualizations and debates, such work aims to demonstrate how forms of representation may help construct rather than simply reflect our “idea of dialogue.” Thus it is claimed that fictional dialogues help perpetuate the notion that civilized debate and discussion always produces some kind of truth, that all participants have equal access to the conversational floor, and that observing norms of politeness and rationality will always ensure communicative success. For some theorists, it is necessary instead to foreground the role of coercion in dialogue (Fogel), and to contest the privileging of some forms of talk over others (Davis), or a naïve conception of dialogue which ignores its incipient politics (Middleton).

Though there are fundamental oppositions between these various approaches to fictional dialogue, they all highlight in their own way both the extent to which this aspect of novelistic technique has been neglected, and the many fascinating and important questions that remain to be fully explored and debated.

SEE ALSO: Adaptation/Appropriation, Decorum/Verisimilitude, Ideology, Philosophical Novel.

BIBLIOGRAPHY

- Bakhtin, M.M. (1981), *Dialogic Imagination*, trans. C. Emerson and M. Holquist.
- Burke, P. (1993), *Art of Conversation*.
- Chapman, R. (1994), *Forms of Speech in Victorian Fiction*.
- Davis, L.J. (1987), *Resisting Novels*.
- Fogel, A. (1985), *Coercion to Speak*.
- Leech, G. and M.H. Short (1981), *Style in Fiction*.
- Mepham, J. (1997), "Novelistic Dialogue," in *New Developments in English and American Studies*, ed. Z. Mazur and T. Bela.
- Middleton, P. (2000), "The Burden of Intersubjectivity," *New Formations* 41:31–56.
- Page, N. (1988), *Speech in the English Novel*.
- Ree, J. (1990), "Funny Voices," *New Literary History* 21:1039–58.
- Sarraute, N. (1963), *Tropisms and the Age of Suspicion*, trans. M. Jolas.
- Sternberg, M. (1982), "Proteus in Quotation Land," *Poetics Today* 3(2)107–56.
- Thomas, B. (2007), "Dialogue," in *Cambridge Companion to Narrative*, ed. D. Herman.
- Toolan, M. (1985), "Analyzing Fictional Dialogue," *Language and Communication* 5: 193–206.

Dictatorship Novel

DANIEL BALDERSTON

The long series of novels about Latin American dictators is initiated by the Spanish writer Ramon María del Valle-Inclán's

1926 novel *Tirano Banderas* (*The Tyrant*), about an imaginary dictator named Santos Banderas, whose country is an amalgam of various parts of Latin America. However, some claim Domingo Faustino Sarmiento's 1845 biography of Juan Facundo Quiroga (1788–1835), *Facundo: Civilizacion y barbarie* (*Facundo: Civilization and Barbarism*), as the most important Latin American antecedent. The next major texts of the subgenre are the hallucinatory *El señor Presidente* (1946, *The President*) by the Guatemalan Miguel Angel Asturias, based on the life of Manuel Estrada Cabrera (1857–1924), and *El gran Burundun-Burundá ha muerto* (1952, *The Great Burundun-Burundá is Dead*) by the Colombian Jorge Zalamea. However, the most important group of novels is a trio from the 1970s: *Yo el Supremo* (1974, *I the Supreme*) by the Paraguayan Augusto Roa Bastos, *El recurso del método* (1975, *Reasons of State*) by the Cuban Alejo Carpentier, and *El otoño del patriarca* (1975, *The Autumn of the Patriarch*) by the Colombian Gabriel García Márquez. As Roberto González Echevarría suggests, the exploration of total power in these three texts is also an exploration of the possibilities of the totalizing novel, in which a strange identification takes hold between the novelist and his subject. This marked the end of the triumphant period of the Latin American "Boom" novel of the 1960s.

Of the three texts, *Yo el Supremo* is, as Gerald Martin notes, the most radical, both in terms of its literary project and in its politics. A searing critique of Latin American history since independence, the novel is narrated largely by the Paraguayan dictator José Gaspar Rodríguez de Francia (1766–1840), mostly after his death. It looks back at his twenty-six years in power as Supreme Dictator of Paraguay as well as forward at the century and a half to come. Roa Bastos makes abundant use of historical sources, many transcribed

almost verbatim, though often mischievously rewritten or recast. Responding to an invitation in “Dr. Francia” (1841), an essay by the British writer Thomas Carlyle (1795–1881), Roa Bastos re-creates the Paraguayan dictator in all of his complexity: as a Jacobin (see BRITISH ISLES 19TH C.), a son of the Enlightenment, an intellectual who distrusts the people he has chosen to guide, and in a bizarre flash forward, as a Leninist or Maoist popular leader. Finally, the narrative shifts to the dictator’s dog Sultán, who delivers a final devastating critique of Francia’s alienation from his people. Roa Bastos’s novel is the most radical of the dictatorship novels because it hews closest to the historical documents associated with a real dictator, yet at the same time manages to be many-voiced, allowing other subjects of that history to be heard.

Other dictatorship novels are sometimes set on a local, rather than national, scale. Examples include Juan Rulfo’s *Pedro Páramo* (1955), set during the Mexican Revolution (1910–20) and the Cristero War (1926–29), and the much earlier *Doña Bárbara* (1929) by the Venezuelan Romulo Gallegos. A recent example of the subgenre is Mario Vargas Llosa’s *La fiesta del chivo* (2000, *The Feast of the Goat*), in which the Peruvian novelist re-creates the days leading up to the assassination of the Dominican dictator Rafael Leonidas Trujillo (1891–1961).

SEE ALSO: Genre Theory, National Literature, Regional Novel.

BIBLIOGRAPHY

- González Echevarría, R. (1985), “The Dictatorship of Rhetoric/The Rhetoric of Dictatorship,” in *Voice of the Masters*.
- Martin, G. (1982), “Dictatorship and Rhetoric in Latin American Writing,” *Latin American Research Review* 17:207–27.
- Martin, G. (1989), *Journeys through the Labyrinth*.
- Rama, A. (1976), *Dictadores latinoamericanos*.

Diegesis see Narrator; Story/Discourse

Direct Discourse see Discourse

Disability Theory

CHRISTOPHER KRENTZ

Like FEMINIST theory, RACE theory, and QUEER theory, disability theory calls attention to the ways that literature relates to a historically oppressed and marginalized group. The field of disability studies started to gain traction toward the end of the twentieth century, when people with bodily differences began to see themselves as an allied minority and lobbied for civil-rights legislation. It builds upon the work of earlier scholars of the body, including Erving Goffman on stigma (1963, *Stigma*), Leslie Fiedler on freaks (1978, *Freaks*), and Michel Foucault on disease, madness, and biopower. It also draws upon and complicates feminist, racial, MARXIST, queer, post-colonial, and postmodern approaches (see MODERNISM). Disability theory emphasizes a shift away from medical discourse to how the cultures around disabled people determine what physical differences mean; it particularly focuses on language and social values.

One aim of disability theory has been to explore the functions of the countless disabled figures in literature. From Mary Shelley’s deformed creature in *Frankenstein* (1818) to Charles Dickens’s blind Bertha Plummer, in *The Cricket on the Hearth* (1846); from the one-legged Ahab, in Herman Melville’s *Moby Dick* (1851), to the deaf John Singer, in Carson McCuller’s *The Heart is a Lonely Hunter* (1940); from Okonkwo’s stutter, in Chinua Achebe’s *Things Fall Apart* (1958), to the shrinking Senator Trueba, in Isabel Allende’s *The House of the Spirits* (1985), disability appears in novels from every tradition. Critics have

pointed out that disabled characters frequently have symbolic or metaphoric significance; they serve as figures of evil or innocence, function as empty receptacles for the human emotions of non-disabled characters, appear inscrutable or ineffable, or offer some kind of insight. However, they typically reveal little about the lived experience of disabled people.

Disability theory also illuminates how disabled characters contribute to the formation of normalcy. Lennard J. Davis asserts that nineteenth- and twentieth-century realist novels consistently uphold middle-class norms and use disabled figures or tropes to buttress this hegemonic IDEOLOGY (1995). Adding to these ideas, David Mitchell and Sharon Snyder point out that disabled characters in literature sometimes present a problem that both initiates the narrative and demands to be redressed, usually through a cure, rehabilitation, or extermination, so that normal order is restored (53–54).

In addition, disability theory seeks to encourage and retrieve disabled writing. For example, scholars have explored how the disabilities of canonical authors, like Flannery O'Connor (Mitchell and Snyder) and Samuel Beckett (Quayson), shaped their work. They also recover lesser-known disabled writers whose output provides a valuable counterpoint to dominant narratives (see, e.g., C. Krentz, 2007, *Writing Deafness*).

Disability theory addresses questions of how disability should be defined, sheds new light on the conflict between biological essentialism and social constructionism, and considers intriguing intersections between disability and race, gender, class, sexuality, and nationality. As Ato Quayson notes, disability resonates on “a multiplicity of levels simultaneously” in novels (28). By revealing these levels, disability theory adds to the understanding of literature and lit-

erary theory, resists ableism, and promotes social equality.

SEE ALSO: Class, Melodrama, Realism, Sexuality.

BIBLIOGRAPHY

- Davis, L.J. (1995), *Enforcing Normalcy*.
 Davis, L.J., ed. (2006), *Disability Studies Reader*, 2nd ed.
 Mitchell, D.T. and Snyder, S.L., eds. (2000), *Narrative Prosthesis*.
 Quayson, A. (2007), *Aesthetic Nervousness*.
 Snyder, S.L., B.J. Brueggemann, and R.G. Thomson, eds. (2002), *Disability Studies*.

Discourse

MARKKU LEHTIMÄKI AND PEKKA TAMMI

A notoriously fluid concept, discourse may be used to designate the linguistic strategies available for rendering the speech, verbal interaction, or verbalized thought processes of fictional characters in novels (see LINGUISTICS). On the other hand, as Mikhail BAKHTIN(1973) has famously stated, “dialogic relationships [involving discourse in the novel] . . . are extra linguistic 2 phenomena.” It was Bakhtin who also affirmed that “verbal discourse is a social phenomenon—social throughout its entire range and in each and every of its factors, from the sound image to the furthest reaches of abstract meaning” (1981, 259), urging subsequent novel criticism toward the deep waters of exploring discursive formations (in the Foucauldian sense), the construction of subjectivity in NARRATIVE, and the role narrative discourse plays in propping up—or in subverting—the prevailing social order (see Lodge).

This entry focuses on the formal categories for rendering speech and thought in

fiction, though with due acknowledgment of the Bakhtinian insight that discursive strategies always involve more than just linguistic parameters. In this regard every novel emerges as a combination of what may be termed the *narrator's discourse* and the *character's discourse*. These categories encompass, besides the more obvious verbalized instances, the vast area of the fictional mind, including "dispositions, beliefs, attitudes, judgments, skills, knowledge, imagination, intellect, volition, character traits, and habits of thought" (Palmer, 58). Such occurrences may be rendered via a variety of *narrative modes*, thoroughly typologized by students of classical as well as contemporary narratology (Cohn, 1978, Fludernik, 1993, 1996). While often considered the province of properly fictional writing, these possibilities for discourse presentation also extend to the nonfiction novel, historiography, and journalism (Cohn, 1999).

DIRECT DISCOURSE

Direct discourse (DD) represents a character's speech or thought in an ostensibly mimetic fashion (Leech and Short). It may be framed by quotation marks and is often accompanied by a tag clause which qualifies the nature of the utterance (see below). Taking its cue from drama, dialogue in fiction renders directly the verbal exchange between characters, serving the narrative functions of characterization and plotting. In *free direct speech*, characters appear to be speaking immediately without the narrator as an intermediary, a technique much favored in Ernest Hemingway's prose:

"What are you thinking about now?"

"Nothing."

"Yes you were. Tell me."

"I was wondering whether Rinaldi had the syphilis."

"Was that all?"

"Yes."

"Has he the syphilis?"

"I don't know."

"I'm glad you haven't. Did you ever have anything like that?"

"I had gonorrhoea." (1929, *A Farewell to Arms*)

Directly quoted dialogue effects an illusion of realism and authentic speech acts. In fiction, however, DD cannot but be a stylized invention. The narrator is quoting the character's discourse, setting apart and foregrounding its given features (vernacular traits, sociolect, idiom). In the following example, the characters' spoken dialect is overtly juxtaposed with the narrative voice, highlighting the fact that transcription is never neutral:

"We're divorced." Rahel hoped to shock him into silence.

"Die-ivorced?" His voice rose to such a high register that it cracked on the question mark. He even pronounced the word as though it were a form of death.

"That is most unfortunate," he said, when he had recovered. For some reason resorting to uncharacteristic, bookish language. "Most-unfortunate." Arundhati Roy, 1997, *God's Own Country*.

While the illusion of authentic speech may still be sustained in DD, in many cases of *direct thought* the illusion of authenticity becomes much more difficult to maintain. Direct thought is a narrative convention allowing the narrator to present a verbal transcription that merely passes as the reproduction of the fictional characters' thought processes (see Palmer). In modernist fiction, direct speech can fluently transform into thought: "I dont even know what they are saying to her," he thought, thinking *I dont even know that what they are saying to her is something that men do not say to a passing child*" (1932, William Faulkner,

Light in August). Direct thought is also known as *quoted monologue* and *private speech*. *Free direct discourse* corresponds to interior monologue and stream of consciousness and is typical of the associative and spontaneous flow of thought in modernist fiction (see PSYCHOLOGICAL).

INDIRECT DISCOURSE

In indirect discourse (ID), the character's reported speech or thought is integrated into the narrator's reporting discourse, commonly by backshifting the tenses and shifting from the first to the third person ("She wondered where she was"). ID paraphrases the content of the "original" speech act or thought without reproducing the verbal traits of speech. Such a transformation can be manifested in highly formalized and literary language deriving from the narrator, as in the well-known opening of Henry James's novel:

She waited, Kate Croy, for her father to come in, but he kept her unconscionably, and there were moments at which she showed herself, in the glass over the mantel, a face positively pale with the irritation that had brought her to the point of going away without sight of him. It was at this point, however, that she remained; changing her place, moving from the shabby sofa to the armchair upholstered in a glazed cloth that gave at once—she had tried it—the sense of the slippery and of the sticky. (1902, *The Wings of the Dove*, Chap. 1)

ID, as *thought report*, can be further used to present various mental events (perceptions, emotions, visual images, memories, and dreams); latent states of the mind; combinations of thought processes with surface descriptions of the physical storyworld; interpretation, analysis, commentary, and judgment. In fiction, ID can express the

view of a collective in the sense of intermental, joint, or shared thought; so in George Eliot's *Middlemarch* (1871–72) it is the voice of the town of Middlemarch that is evoked by the narrator (Lodge; Palmer). In this regard thought report is the most versatile of modes available for discourse presentation, showing characters' minds responding to their social context.

ID is also known as *psycho-narration* (Cohn, 1978), presenting a character's consciousness rather than verbalized thought. In *dissonant* psycho-narration, the narrator is distanced from the character's discourse (as in the classic novel); in *consonant* psycho-narration, the language of figural narration is more or less "colored" by the character's idiom (in the realist and the modernist novel). There is an overlap between this kind of colored ID and free indirect discourse (FID; see below). ID can also take the form of *omniscient description*, which focuses on consciousness as well as on the physical surface of the storyworld:

In the mountains, the snow was iron gray and purple in the hollows, and glowed like gold on every slope that faced the sun. The clouds over the mountains were lifting with light. Brenda took a good look into [Gary Gilmore's] eyes and felt full of sadness again. (Norman Mailer, 1979, *The Executioner's Song*, Chap. 1)

This excerpt from a nonfiction novel first creates an illusion of an objective vision, but then introduces a focalizer present in the scene (see JOURNALISM).

TAGGED DISCOURSE

Tagged discourse identifies the speaking or thinking agent and qualifies the utterance as either verbal or mental activity ("she said/reflected"), or as perception. Dialogue in the

novel is conventionally accompanied by tags originating in the narrator's discourse, specifying the style of the speech act and characterizing the scene in which the spoken exchange occurs: "Is something happening?" I inquired innocently. 'You mean to say you don't know?' said Miss Baker, honestly surprised" (F. Scott Fitzgerald, 1925, *The Great Gatsby*, Chap. 1).

On occasion, *parentheticals* and *introductory tags*, commonly attributed to the narrator, can be attached to the character through contextual interpretation (see Jahn). In the following, ambiguity prevails concerning the use of the parenthetical: "Armenians,' *he said: or perhaps it was 'Albanians'*" (Virginia Woolf, 1925, *Mrs. Dalloway*, Sec. 7). The parenthetical may represent the narrator's indecision regarding the character's speech, or it may originate in the character's hesitation, conveying information about his personality. Consider also the use of an introductory tag such as: "*He either thought or said: 'Well, tomorrow perhaps I'll drink beer only'*" (Malcolm Lowry, 1947, *Under the Volcano*). Here it seems that the narrator may not be altogether sure whether the protagonist thinks or speaks, but the narrative context informs us that the indecision belongs to the protagonist (who is drunk). Tags can accompany direct as well as ID, but in free direct or FID they are commonly omitted.

FREE DISCOURSE

The narrative mode bringing together traits of DD and ID has been variously termed *style indirect libre*, *erlebte Rede*, dual voice, narrated monologue, represented speech and thought, or FID. (For classical narrative theoretical approaches, see studies by Pascal; Cohn, 1978; Banfield; McHale, 1978, 1983.) Literary historians have traced occurrences of FID to medieval or even earlier

texts, but it did not begin to prosper in the European novel until the formal innovations of the eighteenth and nineteenth centuries, in the wake of Johann Wolfgang von Goethe, Jane Austen, Gustave Flaubert, and Fyodor Dostoyevsky. It has since become a principal mode for representing speech acts as well as mental states in fiction. The incidence of FID in oral narratives and other text types besides the novel has been discussed by Monika Fludernik, whose 1993 study remains the fullest exposition of the topic to date. Along with the work of Alan Palmer, Fludernik also needs to be credited for her challenges to the "speech-category" approach to discourse. Palmer and Fludernik have raised questions about drawing the lines among speech, thought, perceptions, and other modes of consciousness, while drawing lines between consciousness and action. According to the standard linguistic definition, FID is distinguished by a unique combination of grammatical features derived from the narrator's discourse and the directly quoted discourse of the character. While some of these features are language-specific, the present remarks concern English usage only (for contrastive approaches see Tammi and Tommola). Hence the third person and the past tense belonging to ID, and the deictic references of place or time deriving from direct discourse, are combined in FID: "He was falling in love with Emma here and now." There may occur additional traits of the character's discourse, like lexical fillers ("Yes, he was falling in love . . ."), interrogatives, interjections, or other signs of subjective syntax. Fictional practice often displays swift alternation between these modes, as in the following:

[ID] [Mr. Bingley] sat with them above an hour, and was in remarkably good spirits. Mrs. Bennet invited him to dine with them; but with many expressions of concern, he confessed himself engaged elsewhere.

[tag] “Next time you call,” said she, “I hope we shall be more lucky.”

[FID, with narrator’s ellipsis] He should be particularly happy at any time, etc., etc.; and if she would give him leave, would take an early opportunity of waiting on them.

[DD] “Can you come tomorrow?”

[FID] Yes, he had no engagement at all for tomorrow . . . (Jane Austen, 1813, *Pride and Prejudice*, Chap. 55)

The grammatical description has been mostly applied to third-person, past-tense (“omniscient”) narration, but it also covers features in first-person novels, where narrators may either transmit their own past thoughts, or speech acts addressed to themselves, as here:

[ID] It was big Frank. He remained framed in the opened door, one hand on its jamb, leaning forward a little.

[FID] Howdy. Nurse Lore was on the telephone. She wanted to know was I better and would I come today? (Vladimir Nabokov, 1955, *Lolita*, Sec. 16)

Recent research has identified a mounting trend toward present-tense narration in contemporary fiction. With the waning of the back-shift of the tenses formerly undescended hybrid forms of discourse presentation tend to emerge. In the following, the narration drifts into metafictional commentary (either by the narrator or the character), frustrating attempts to determine the mode of discourse employed on the basis of standard criteria (see *METAFICTION*). A rich repertoire of such forms is currently displayed in the novel.

[FID] He should never have come here A wrong move. He ought to get up at once, steal out. But he does not. Why? Because he does not want to be alone. And because he wants to sleep. [tag] *Sleep*, he thinks, *that knits up the*

ravelled sleeve of care. [Narrator’s or character’s discourse?] What an extraordinary way of putting it! Not all the monkeys in the world picking away at typewriters would come up with those words in that arrangement. (J. M. Coetzee, 2003, *Elizabeth Costello*, 27)

While valid to a point, the linguistic approach has been shown to cover only inadequately the range of discourse presentation in the novel. What is also at stake, narrative theorists argue, is the Bakhtinian notion of “two voices, two meanings and two expressions” (Bakhtin, 2006, 324) which the reader infers from the narrative context. Consider a famous episode from Austen:

[ID] [Frank Churchill] stopped again, rose again, and seemed quite embarrassed.—[FID] He was more in love with her than Emma had supposed. (1815, *Emma*, Chap. 12)

From the grammatical standpoint, the second sentence could also be read as ID, reporting the actual state of affairs in the world of Emma. But as Austen’s readers know, it is not, though the reader can reach this decision only retrospectively when it later turns out what Churchill’s true feelings were. What is encountered is still FID—a false hypothesis in the heroine’s mind—but to interpret this correctly the reader needs the context of the novel.

A related argument is again put forth by those theorists who warn against the “overestimation of the verbal component of thought” in studying fiction (Palmer, 57). In other terms, it is also the property of fiction to transmit inarticulate sensations or mental processes remaining on the threshold of verbalization (see Cohn, 1978, 103). These include moments of unreflective physical perception, overlapping with ID: “He looked out. *Drops of rain were falling.*”

But fiction can play with the reflecting mind in more elaborate ways. In the following excerpt from Toni Morrison it is indicated that the character did not utter or consciously think what the novel nevertheless represents as a turbulent stream of consciousness, impulse, action, and inchoate purpose, which nevertheless comes across with all the formal traits the reader is accustomed to associating with FID:

And if she thought anything, it was No. No. Nonono. *Simple. She just flew. Collected every bit of life she had made, all the parts of her that were precious and fine and beautiful, and carried, pushed, dragged them through the veil, out, away, over there where no one could hurt them. Over there. Outside this place, where they would be safe.* (1987, *Beloved*)

A dilemma for the theorist, such ambivalence also underlines the distinctive quality of reading fiction. Thought once to enhance psychological realism in novels, FID in its protean manifestations turns out to have the opposite effect as well—laying bare the *non-natural* attributes of discourse presentation in the novel, where the range for innovative formal variation remains potentially infinite.

SEE ALSO: Narrative Technique.

BIBLIOGRAPHY

- Bakhtin, M.M. (1984), *Problems of Dostoyevsky's Poetics*, ed. and trans. C. Emerson.
- Bakhtin, M.M. (1981), "Discourse in the Novel," in *Dialogic Imagination*, ed. M. Holquist, trans. C. Emerson and M. Holquist.
- Banfield, A. (1982), *Unspeakable Sentences*.
- Cohn, D. (1978), *Transparent Minds*.
- Cohn, D. (1999), *Distinction of Fiction*.
- Fludernik, M. (1993), *Fictions of Language and the Languages of Fiction*.
- Fludernik, M. (1996), *Towards a "Natural" Narratology*.
- Jahn, M. (1992), "Contextualizing Represented Speech and Thought," *Journal of Pragmatics* 17:347–67.
- Leech, G.N. and M. H. Short (1981), *Style in Fiction*.
- Lodge, D. (1990), *After Bakhtin*.
- McHale, B. (1978), "Free Indirect Discourse," *Journal for Descriptive Poetics and Theory of Literature* 3:249–87.
- McHale, B. (1983), "Unspeakable Sentences, Unnatural Acts," *Poetics Today* 4:17–45.
- Palmer, A. (2004), *Fictional Minds*.
- Pascal, R. (1977), *Dual Voice*.
- Tammi, P. and H. Tommola, eds. (2006), *FREE Language, INDIRECT Translation, DISCOURSE Narratology*.

Distance see Narrative Technique; Space
Distant Reading see History of the Novel

Domestic Novel

LORI MERISH

Given what Ian Watt long ago identified as the novel's generic emphasis on personal relationships and "private" life, almost all fiction might in some respect be classified as domestic (1957, *The Rise of the Novel*). But the term refers to a prominent subgenre, largely Anglo-American (with cultural roots in evangelical Protestantism), which emerged in the eighteenth century with Samuel Richardson's *Pamela* (1740) and came to full flowering in the mid-nineteenth century. Jane Austen, Charlotte Brontë, Elizabeth Gaskell, Harriet Beecher Stowe, and Louisa May Alcott are well-known domestic authors; domestic fictions by these and a host of lesser-known writers were published in book form and proliferated, as serial and short fiction, in numerous widely read periodicals (see *SERIALIZATION*). Associated with the rise of female authorship (although male writers, e.g., Nathaniel Hawthorne, also

wrote domestic fiction) and a female literary readership as well as the increasing respectability of the novel as literary form, domestic transforms domestic incident into plot, centering on the home and family—not only as the sphere that launches the hero, as in the *BILDUNGSROMAN* or *PICARESQUE* novel, but as the locus of significant narrative action; domestic fiction invests the seeming “trifles” of daily domestic life with profound emotional and cultural value (Tompkins, chap. 6). Giving fictional form to the culturally- and historically-specific organization of personal life known as “domesticity” (a particular model of the privatized, middle-class, nuclear family) and to the gendered spatial and social divisions between public and private that defined Victorian society, domestic fiction centered on women; indeed, this literature’s emergence coincided with the “rise of the domestic woman,” a moral exemplar and embodiment of “feminine” domestic virtues of modesty, chastity, frugality, sympathy, and selfless devotion to family (Armstrong, chap. 2; see *GENDER*). While domestic texts could be comic, even satiric, in tone, many were strongly inflected by evangelical Protestantism’s vision of the special moral authority and “influence” of middle-class women; domestic fiction of this type (often called “sentimental fiction”) played a key role in abolitionism and other early nineteenth-century movements for social reform. While most accounts identify the waning of domestic fiction after 1870, scholars have traced its sustained relevance within the modernist era and beyond (see *MODERNISM*), especially among a diverse group of women writers in Britain and America; others detect its imprint on postcolonial novelists’ politically charged portrayals of “home.”

The 1970s *FEMINIST* recovery and reevaluation of women’s literary texts launched a lively critical discourse about domestic fiction, one that, in particular, placed a tradition of eighteenth- and nineteenth-century U.S. women’s fiction on the literary-historical map. Many (e.g., Armstrong, Brodhead) draw on Michel Foucault to situate domestic novels among other disciplinary discourses (e.g., conduct books) that constitute normative (middle-class, white) configurations of subjectivity and desire; for these scholars, the belief that home is a realm outside power facilitates the ideological efficacy of domestic fiction, by masking its “signification of the sociopolitical within the realm of private experience” (McKeon, chap. 15). This literature’s explicit, rich emotionality has also generated important readings by cultural studies scholars examining the affective dimensions of political life and *NATIONAL* affiliation, and by scholars of the history of *SEXUALITY*, who locate in domestic fiction non-normative expressions of kinship, affect, and desire.

SEE ALSO: Genre Theory, Gothic Novel, Historical Novel, Race, Regional Novel, Space.

BIBLIOGRAPHY

- Armstrong, N. (1987), *Desire and Domestic Fiction*.
 Brodhead, R. (1995), *Cultures of Letters*.
 Marangoly George, R. (1996), *Politics of Home*.
 McKeon, M. (2005), *Secret History of Domesticity*.
 Tate, C. (1992), *Domestic Allegories of Political Desire*.
 Tompkins, J. (1985), *Sensational Designs*.

Dystopian Novel see Science Fiction/
 Fantasy

E

Early American Novel

LEONARD TENNENHOUSE

Most accounts of the American novel show it serving to shape the nation or what Benedict Anderson calls an “imagined community.” These accounts scour early American novels for self-conscious signs of NATIONAL aspiration, nominate characters as early versions of the ideal citizen-subject, analyze plots for what they may say about a national politics, study landscapes for their uniquely American topography, and explain the sheer number of GOTHIC and sentimental texts in terms of how they sought to unite a disparate readership around those aspirations, ideals, and political goals. While a few novels reward the stalwart critic with evidence to justify one or more of these procedures, most do not, especially those written before the 1820s. Critics consequently skip over most early examples of American fiction and settle on James Fenimore Cooper’s frontier fiction—particularly *The Pioneers* (1823), *The Last of the Mohicans* (1826), and *The Prairie* (1827)—as the first to create a uniquely American hero to mediate the struggle among the different groups—French, British, American, and Native American—which gave shape and coherence to the new nation.

American novels written between the 1780s and 1820s tell a different story. Novels by Hugh Henry Brackenridge, Leonora Sansay, Charles Brockden Brown, Royal Tyler,

Isaac Mitchell, Susannah Rowson, and other writers of the early republic are modeled on a cosmopolitan view of America. These novels pull off the amazing feat of detailing both the peculiar practices and idiosyncratic kinship rules of local communities and situating those people and their practices within an Atlantic circuit of people, goods, services, and information that CROSS REGIONAL and NATIONAL boundaries. It was arguably against this cosmopolitan form that the nineteenth-century novel struggled to create a narrative form that corresponded to the nation as a whole and, at the same time, was internally coherent and clearly defined.

To date, we have no literary critical study of the eighteenth- and early nineteenth-century American novel comparable to Ian Watt’s *Rise of the English Novel*, which shows how certain narratives of individual development both accompanied and reflected the emergence and development of the GENRE, the readership, and ultimately Great Britain. A surplus of British fiction, both imported and reprinted in America, coupled with a number of novels written in America that do not confine their plots solely to an American geography, and the lack of any pretense at representing a unified American identity, make it difficult to say what is distinctively American about the early American novel. While a number of authors felt the need for a specifically American novel—most famously Brockden Brown and his literary cohort—their call for such a novel strongly suggests

that in actuality, there was no such thing. The facts suggest a cosmopolitan form had far more appeal to an early American readership. Let us consider what the field of the early American novel might look like were it to develop around this other model of community.

Long considered the “first” American novel, William Hill Brown’s *The Power of Sympathy* was published in 1789, the same year as Olaudah Equiano’s *The Interesting Narrative*. To consider both Equiano’s autobiographical narrative, which draws on a variety of novelistic materials, and Hill Brown’s more traditional EPISTOLARY novel in these terms, we need Paul Gilroy’s insight that a group’s ability to maintain a semblance of autonomy and collective identity over time is based on its cultural practices—rather than its ability to trace its genealogy back to some point of origin. Instead of formulating a continuous tradition that aims at retrieving a lost past, an intellectual process he identifies with the chronotope of the road, Gilroy prefers to think within the chronotope of the crossroad (see BAKHTIN).

The putative author of *The Interesting Narrative* crisscrosses the Atlantic world—in the manner of a *pícaro*—from Africa, to the West Indies, Virginia, England, Canada, the Mediterranean and back again to the West Indies (see PICARESQUE). What happens if we regard the key exchange that takes place in England (when Equiano comes under the tutelage of the Guerin sisters) as the prototype for Hill Brown’s narrative? This allows us to cast his protagonist as a man at the crossroads. While Hill Brown’s Mr. Worthy does not undergo a conversion experience comparable to Equiano’s, in the small section of New England where most of *The Power of Sympathy* is staged, the model of “the crossroads” nevertheless applies. Indeed, it directs us to a scene in a New England library where similar exchanges occur (see LIBRARIES). A young woman who

reads “methodically” and with “judgment” a variety of texts including history, novels, and poetry will be able, according to an old gentleman also present in the library, “to form an estimate of the various topicks discussed in company, and to bear a part in all those conversations” (6). Any less rigorous course of reading will fail to give her what he calls “a true knowledge of the world.” When we factor the information that flows through print into the conversation taking place in a New England library, the exchange of views suddenly expands from a provincial gathering at a country estate into a cosmopolitan debate.

If the early American novel asks its reader to position her or himself within a cluster of such intersections, then Benedict Anderson’s model of the novel as a national form simply will not work. The novel, according to Anderson, encourages the reader to imagine his or her community as “a sociological organism moving calendrically through homogeneous, empty time [which] is a precise analogue of the idea of the nation” (chap. 2). Such early novels as Hector St. John de Crèvecoeur’s *Letters from an American Farmer* (1782), Hill Brown’s *The Power of Sympathy*, Brackenridge’s *Modern Chivalry* (1792–1815), Brockden Brown’s *Wieland* (1798) and *Edgar Huntly* (1799) Sansay’s *Secret History* (1808), and Mitchell’s *The Asylum* (1811) refuse to yield anything like a single geographically bounded organism, its various parts moving simultaneously in TIME. Following characters as they travel from one city to another, these early American novels say little or nothing about the landscape they traverse, save for the forms of interruption it presents—hazards and digressions that force the narrative to go around an obstacle and pursue another route, often to a different destination. Instead of mapping the nation as a territory, these narratives consequently produce nodal points

where characters meet, change directions, take on certain features, and leave others behind.

In such a world, it matters little where one comes from or goes to. More important is what a character brings to and takes away from an exchange. Like Hill Brown's Mr. Worthy, so do Crèvecoeur's Farmer James and Brockden Brown's Edgar Huntly and Clara Wieland learn that such exchanges require one to bring something like a cultural literacy to the exchange before he or she can gain information from it. Every crossroad, town, or city, is different, and generalizing from one place never entirely prepares one for the next; there is always new knowledge to acquire. In sharing the information he acquired in visits to Martha's Vineyard, Nantucket, and Charleston with his British correspondent, Farmer James emphasizes what is unique to each place, whether it is the fact that the whalers of Martha's Vineyard do not engage in debauchery when they return from the sea, or that the women of Nantucket are responsible for overseeing the economic life of the island. To indicate what makes Charleston part of the slave-owning South, Farmer James describes the horrific scene of the slave left to die in a hanging cage. Similarly, the narrator of *Secret History* reveals that the real scandal of Saint-Domingue is the amatory cruelty of the colonial elites more than the bloody business of slavery. Each place, in other words, has its own history. To unearth its history is to understand that place.

Brockden Brown's protagonists are known for undergoing a sequence of bad exchanges that finally reveal the secret history of the person whom they have mistakenly chosen to instruct, as Arthur Mervyn does with Welbeck and Edgar Huntly, paradoxically, with himself. "The Secret History of Boston" could easily be an alternative title for *The Power of Sympathy*, which turns on

the fact that the scion of one of that city's most prominent families fathered an illegitimate daughter with whom his only son has fallen in love. Harrington the younger commits suicide on learning that his beloved Harriot is actually his half-sister, and the family line is threatened with extinction. Through his successful courtship of Harrington's legitimate daughter, young Harrington's friend, aptly named Mr. Worthy, provides a suitable substitute. In exchange, the elder Harrington gives Worthy both the family's sole surviving daughter and the social prestige that makes Worthy's literacy equivalent to Myra's wealth and prominence. The community that comes into being through this exchange is not based on common origins or local customs but on the medium of the exchange—a high degree of literacy.

Its sense of TIME also distinguishes the novel of the early republic from later nineteenth- and twentieth-century novels. In the early novel, time rarely moves "forward" in a manner that mirrors history, and when it does, it inevitably encounters a cause for digression. Clithero Edny bursts into Edgar Huntly's life and halts the progress of the narrative in order to provide an account of his own life in some detail from birth until the present moment, and his is just one of several narratives that similarly loop around and rejoin Huntly's. Like the geographical detours that set them off, these temporal loops bring together conflicting perspectives. Often on the same event, the point of which is not to determine the "truth" but to make connections by exchanging information. By circulating in and through what appears to be an arbitrary number of points of exchange, sometimes folding back, sometimes digressing to bring in another character's history, the narrative links these points to form something like a network (see NARRATIVE STRUCTURE).

Such a network cannot be confined within one national boundary and is necessarily cosmopolitan in character. Crèvecoeur's *Letters from an American Farmer* fulfills a cosmopolitan vision by means of an epistolary framework that puts an American farmer in correspondence with a British gentleman. Sansay's *Secret History* guides its reader through circuits of exchange between Philadelphia and Haiti, Haiti and France, back to Philadelphia, then to Haiti and on to Cuba. Rowson's *Charlotte Temple* (1791) sends its heroine from England to America where she is seduced and abandoned. The dying Charlotte hands her daughter over to her father to be reared back in England. The narrator of Brockden Brown's *Arthur Mervyn* (1799–1800) reports by novel's end that he is writing from Europe; Clara Wieland writes that she is living with her uncle in Montpellier; and Brockden Brown's *Ormond* (1799) ends as Constantia Dudley arrives in England. In every case, characters either gather information from places in Europe, the Caribbean, and the Transcaucasus or carry information to such locations after it has circulated in the U.S.

Written to tap into the popularity of the Barbary narrative, Tyler's *The Algerine Captive* (1797) takes us, in the first volume, from New England to the American South. Updike Underhill recounts his experiences as a schoolteacher and later a doctor as he moves from north to south. Each stop provides an occasion to describe the different practices of the various regions. As a result, there is no consistency, no national character. As an educated New Englander, Underhill is frequently at odds with locals wherever he pauses on his quest and tries to settle down. Unsuccessful in every attempt to be at home in America, he signs on as a doctor to serve aboard a slave ship, only to be captured and enslaved by Barbary pirates. What had been in the first volume an account of the difficulty Underhill encountered in his quest to

find community within the geographical boundaries of the new U.S. gives way in the second volume to a cosmopolitan narrative. Taken captive by Barbary pirates, Underhill is placed in a boat with "a Negro slave, five Portuguese, two Spanish sailors, an Italian fiddler, a Dutchman" and his Hottentot servant (vol. 2, chap. 1). Here and throughout the second volume, one's nationality is of little consequence until or unless the captive's government is willing to purchase his freedom. The point is clear. Our hero has to be seized by pirates, taken to the Barbary Coast, and there enslaved before he understands that he is part of an international exchange of people and commodities.

It is telling that the single most popular gothic novel in nineteenth-century America, Mitchell's *The Asylum; or, Alonzo and Melissa* contains a gothic castle on Long Island Sound. If we don't have to go to Europe to find a gothic castle, then we might well expect such a novel to locate its characters within the geographical boundaries of the nation. Such is not the case, however. The economic disparity between the protagonist, Alonzo, and his intended, Melissa, poses an obstacle to their union. They are torn apart when Alonzo's father loses his fortune; it subsequently takes nothing less than the intervention of Benjamin Franklin (1706–90), an old friend and business partner of his father, to recover the investment and restore the economic equity between the lovers' families, enabling Alonzo to marry Melissa. To meet Franklin, however, the narrative has to transport Alonzo to Paris. To get to Paris, he enlists in the Revolutionary army, is captured, sent to London in chains, and only after his escape from a British prison ship makes his way to the Continent. Going by this example, the early American novel assumes that citizens of the U.S. travel widely, that the boundaries of the new nation are extremely porous, and

that its networks intersect or overlap those of Western Europe.

What can we conclude about the early American novel from these examples? No author writing fiction in English from North America could write outside a transatlantic system of exchange, even if he or she wanted to do so. By the same token, more British novels of the period than not acknowledged this same kind of network as the conditions of their own production, including the novels of Daniel Defoe, Laurence Sterne, Samuel Richardson, and Henry Fielding, out of which Ian Watt abstracts the roots, trunk, and branches comprising his *Rise of the Novel*. As a result of his retroactive reconstruction, the cosmopolitan nature and diversity of the eighteenth-century British novel tend to drop from sight. We might find it more than a little ironic that James Fenimore Cooper, one of the first successful American novelists recognized on both sides of the Atlantic, wrote many of his novels while he was living in England, France, and Italy and reading the works of Walter Scott.

SEE ALSO: Comparativism, History of the Novel, Intertextuality, Life Writing.

BIBLIOGRAPHY

- Anderson, B. (1983), *Imagined Communities*.
 Davidson, C. (1986), *Revolution and the Word*.
 Gilroy, P. (1993), *Black Atlantic*.
 Tennenhouse, L. (2007), *Importance of Feeling English*.
 Watt, I. (1957), *Rise of the Novel*.

Eastern and Central Africa

EVAN MWANGI

In discussions of modern African literature, the broad regional category of “Eastern and Central Africa” is most appropriately used

only as a heuristic designation. In this sense, the category does not designate a homogenous tradition as it may be construed in traditional literary history, but rather moves between and beyond the confines of discrete NATIONAL traditions. This entry will therefore use the term to cover countries—such as Zimbabwe or Malawi—that, geopolitically, could also be classified as part of southern Africa, and countries that belong to the Horn of Africa, such as Somalia and Ethiopia.

In terms of form and language of composition, novels by writers from the countries of Eastern and Central Africa are as diverse as the demographic and linguistic specificities which characterize the region. Novels from the region are impacted by, and in turn reflect, a wide range of aesthetic features and political contexts. Published both by small local firms and by multinational presses, the novels appear not only in the European languages of the regions’ former colonial powers—English, Portuguese, and French—but also in “indigenous” or autochthonous languages. If there is a uniform historical and intellectual context running alongside the region’s diversity of literary production, it would be the legacy of the nineteenth- and twentieth-century European colonial presence and, thereafter, the pressures of modernity, the challenges of state formation, and the vicissitudes of intranational and international politics. East and Central African novels have over time explored themes that critique classical colonialism and its later manifestations. GENDER has also emerged as an important reference point in the novels published, especially since the 1980s. Stylistically, the novelists display varying degrees of sophistication in the way they exploit local forms of oral narration to locate their works within the cultural and political specificities of their diverse communities, while reaching out to a broader Pan-African and global

readership. In light of the heterogeneity of linguistic, cultural, and sociohistorical contexts which form part of novel writing and its reception in the region, sweeping generalizations are unhelpful. Nonetheless, specific trends and thematic concerns can be identified to provide an overview of novel writing in the countries of the region.

THE LANGUAGE ISSUE

A useful starting point is the question of language itself: i.e., the familiar debate around the role of African languages vis-à-vis the European ones that came with colonialism (see TRANSLATION). In critical scholarship on the question of language in African literature, Ngũgĩ wa Thiong'o is generally credited with arguing for the importance of African languages to the future of literary production and for their cultural-political relevance in the continent. With the publication of *Decolonising the Mind* (1986) and his own use of Gikuyu—the language of the majority Kikuyu people of Kenya—in his creative work, Ngũgĩ's position is at once nationalist and internationalist, or pan-Africanist. In his view, for African literature broadly construed to move beyond colonial indoctrination and cultural elitism (perpetuated by neocolonial apologists, European as well as African), European languages should not be the primary or privileged language of literary production. Rather, writers should work with the languages spoken in Africa before the arrival of the major European languages as a consequence of colonial conquest. This issue continues to emerge in discussions of the future and continued relevance of literature, especially the novel, in the continent.

Even during colonialism's heyday, writing in African languages was not necessarily seen as a phenomenon that should be suppressed, still less one that would necessarily

threaten European hegemony (see IDEOLOGY). Indeed, from 1910, African languages were promoted by Christian missionary organizations and colonial bureaucrats, even if this was not for the same set of reasons as those of Ngũgĩ. As in other parts of sub-Saharan Africa, "indigenous" languages were often promoted by colonial authorities in order to achieve the strict separation of African languages from European ones. This in turn served to ghettoize the writers, while presenting the idea that precolonial African cultures were being respected and kept "authentic." What this complex history of the politics of language and culture in Africa suggests is that the non-European languages are not necessarily "authentic" simply because they are "native" to the regions, neither do they necessarily escape colonial or neocolonial appropriation and exploitation. The issue of language in the production of novels in East and Central Africa—as in the rest of black Africa—is large, and the debates surrounding it will surely continue to animate academic literary criticism. Meanwhile, novels in both the inherited European languages and the multiple African languages continue to be written.

THE EARLY WRITERS

The early novels published in English by white writers in the settler colonies of Rhodesia (now Zimbabwe), Nyasaland (now Malawi), and British East Africa (Kenya and Uganda) since 1910 signified the tensions within the colonial cultural and within the epistemic order. Some of these writings—fiction, travelogues, autobiographies—openly supported the imperial vision of occupying African lands and resettling the indigenous communities in infertile parts of the colonies; others cast a disapproving gaze at the colonial project, developing in the process powerful critiques of racialist and colonialist ideologies (see RACE). But these

writings often tended to be shackled by a fundamentally patronizing attitude toward indigenous Africans, an attitude that later generations of black African writers were to debunk in their own literary response to racial stereotyping and patronage. By and large, the novels had an expatriate and non-African readership and did not appear, consistently and intensively, to be overly concerned by the economic dispossession, political subjugation, or cultural denigration of Africans. Early settler writers include Peter Armstrong and Arthur Shearly Cripps. While these writers were critical of the European occupation of Southern Rhodesia, exposing the crass materialism and racism of settler colonialism, they flattened out the complexity of the continent and elided African agency and indigenous customs from their stories.

Similarly, female settler writers in their novels exposed the masculinist underpinning of empire but were sometimes supportive of colonialism. Like Karen Blixen's (Kenya) memoir *Out of Africa* (1933), the novels were praised in Western venues for the same reasons they were found to be offensive in Africa. This group includes Cynthia Stockley and Gertrude Page from Southern Rhodesia, and Joy Adamson and Elspeth Huxley from Kenya. Doris Lessing's novels are much more complex in their form and treatment of colonial themes. Born in Persia (now Iran) in 1919, Lessing left Rhodesia in 1949. *The Grass is Singing* (1950), her novel set in colonial Rhodesia, sensitively portrays the mistreatment of black people by white settlers and was mentioned when she won the Nobel Prize for Literature in 2007. In the same vein, Kenyan Marjorie Oludhe Macgoye, who came to Africa as a missionary in 1954, used African culture and landscape to depict the plight of women under colonialism and neocolonialism, and to treat the interplay of the scourge of HIV/AIDS and the neocolonial dissolution

of African institutions. Deeply sensitive to African cultures, Macgoye consistently rejected the privileges that go along with being white in Kenya, to the extent that critics find it hard to classify her as a "settler" novelist. Nonetheless, her writing demonstrates a weakness in that it almost always places the European figure above the indigenous African, as a savior of black female victims.

NATIONAL INDEPENDENCE AND POST-INDEPENDENCE DISILLUSIONMENT

A key theme in the central and eastern African novel after 1970 is precolonial African cultures and their place in contemporary Africa. The writers attempted to correct the images of Africa by celebrating the precolonial cultures that the colonial archive sought to erase. As in his seminal academic studies, *The Invention of Africa* (1988) and *The Idea of Africa* (1994), Valentin Yves Mudimbe (Zaire/Democratic Republic of Congo), in his novel *L'Écart* (1979, *The Rift*), portrayed the need to wrest domination away from the colonial archive and undo the violence in Europe's claim-to-truth about Africa. Pierre Sammy Mackfoy, Cyriaque Robert Yavoucko, and Pierre Makombo Bamboté from the Central African Republic conducted a similar project in their novels. They sought to explore African realities from the perspective of African characters as a way of undermining colonial historiography, even when describing corruption and violence in the post-independence nation. Novelists who valorized the precolonial past and early resistance to colonialism include Stanlake Samkange and Solomon Mutswairo (Zimbabwe) and Ngũgĩ wa Thiong'o.

Of all these writers, the novels of Ngũgĩ wa Thiong'o contain the most sustained and influential critique of colonialism and neocolonialism. Ngũgĩ's debut novel was the

first English-language East African novel by a black writer. The novel, *Weep Not, Child* (1964), employs an adolescent's perspective to portray, the violence and anxiety of the fight for Kenyan independence in the 1950s. *The River Between* (1965) uses the conventions of REALISM to depict the conflict between Africa's precolonial traditions and modernity, covering such themes as individual alienation, the 1930s controversy surrounding female circumcision in central Kenya, and the centrality of Western education in the fight for independence. Ngũgĩ's later novels capture, in graphic terms, a disillusionment with the post-independence situation in Africa, but the solution they offer to the continent's problems is more focused. Influenced by the Martinican theorist Frantz Fanon (1925–61), Ngũgĩ's *A Grain of Wheat* (1967) and *Petals of Blood* (1977) demonstrate disappointment with a constitutional independence unaccompanied by any improvement in the material condition of the peasantry and working CLASS. His novels since the 1980s have been written in his Gikuyu language. They borrow heavily from oral methods of narration to portray injustice in modern Kenya, such as gender violence and exploitation.

With the exception of Tanzania, where the Kiswahili-language novel remained nationalist and tacitly supportive of the *ujamaa* (African socialist) policies of the founding president, Julius K. Nyerere (1922–99), East African novels around the late 1960s tended to focus on the disappointment with nationalism. The novels abandoned linear plots and adopted a more complex psychological examination of perspectives from sympathetically drawn (even if unreliable) characters. The writers portrayed the disjunction between the euphoria of independence and the reality a few years later. Nuruddin Farah's (Somalia) novels in the trilogy *Variations on the Theme of an African Dictatorship* (1979–83) explore the

corruption and abuse of office by the authoritarian military regime of Siad Barre, revealing parallels between the new governments and their European colonialist predecessors. As in his earlier fiction, Farah explores gender issues, including the practice of female circumcision, but without the ambivalence with which Ngũgĩ treats the practice in his novels. Farah is best known for his sophisticated *Maps* (1986), a post-modern novel that express disillusionment with Somali nationalism. Paul Tiyambe Zeleza (Malawi) also captured the hollowness of political independence in the 1990s, especially in *Smouldering Charcoal* (1992), which represents the corruption eating at the vitals of Malawian society. *Abyssinian Chronicles* (1998) and *Snake Pit* (2005) by Moses Isegawa capture in stark prose the horrors of Idi Amin's dictatorship in Uganda.

After the late 1970s, Tanzanian novels in Kiswahili began to express disillusionment with the *ujamaa* one-party state. Novelists in this category include Gabriel Ruhumbika, Euphrase Kezilahabi, William Mkufya, Emmanuel Mbogo, and Said A. K. Mohamed. In his novels, especially in *Makuadi wa Soko Huria* (2005, *Pimps of The Free Market*) Chachage Seithy L. Chachage satirized not only the failure of *ujamaa* but also the runaway greed of the liberalism that succeeded it. In Kenya, the anti-establishment stance in the Swahili novel had already been established by the works of Katama Mkangi and accentuated by Kyallo Wamitila; like Chachage, they criticized both the Kenyan dictatorships and short-term Western-sponsored policies such as globalization.

In Zimbabwe, Charles Mungoshi's novel in English, *Waiting for the Rain* (1975), was preceded by three Shona novels, expressing the fragmentation of Shona culture under colonial onslaught. Stylistically, Mungoshi is one of the first Zimbabwean writers to abandon the classical realist mode. His no-

vels in English and Shona experiment with modernist forms to signify the physical and psychic disintegration of families under the pressure of colonial rule and modernity. His compatriot Dambudzo Marechera's *The House of Hunger* (1978) and *Black Sunlight* (1980) explore unrelenting individual disintegration and collective stasis through a distinctive formal technique that owes much to European MODERNISM. Equally important Zimbabwean novelists include Chenjerai Hove and Shimmer Chinodya.

The novel about colonialism and the struggle for independence tended to idealize women by representing African nations figuratively as an ahistorical woman needing to be rescued from rapacious colonialists. At the same time, the urban novel represented the modern African woman as a degenerate prostitute. Gender became a major theme in the 1980s, with women writers such as Rebeka Njau, Grace Ogot, and Margaret Ogola (Kenya), Tsitsi Dangarembga and Yvonne Vera (Zimbabwe), Mary Okurut and Goretta Kyomuhendo (Uganda), Asenath Bole Odaga (Kenya), and Eliesh Lema (Tanzania) focusing on discrimination against women in post-independence Africa, despite their involvement in the fight for independence. Rather than condemning the prostitute as a symbol of urban decrepitude, women's novels such as those by Okurut, Njau and F.M. Genga-Idowu attempted to redeem the prostitute as a figure of possible FEMINIST agency. Unlike novels by male writers, these works are largely directed through female characters and focus on women's struggles to reclaim their humanity in a male-dominated society. While addressing larger political themes such as corruption, women's novels focus on feminist themes and the role of women in fighting poverty and HIV/AIDS.

The novel in East and Central Africa is largely realist, but postmodern narration based on phantasmatic oral literature and MAGICAL REALISM has emerged since the mid-

1980s, to help the writers evade CENSORSHIP and to address traumatic topics such as state-sponsored violence. Writers in indigenous languages like Said A. K. Mohamed (Zanzibar), Kyalo Wamitila and Katama Mkangi (Kenya), and Euphrase Kezilahabi (Tanzania) have produced novels in indigenous languages, playfully challenging the conventions of realism while grounding their novels in the material circumstances of the region. The trend is also visible in the work of Congolese Sony Labou Tansi. Mia Couto (António Emílio Leite Couto), born to white settler parents in 1955, is considered Mozambique's foremost creative writer. His novels in Portuguese have been widely appreciated for their magical realist technique and treatment of the MEMORY. Ba Ka Khosa (Mozambique) joins Couto in producing Portuguese post-realist novels that draw on folklore (see MYTHOLOGY). Another leading writer from Mozambique is Lília Momplé, whose novel *Neighbours: The Story of A Murder* (1995) mixes memory with present-day conditions to examine the fraught relationship between Mozambique and apartheid South Africa.

SEE ALSO: Dialect, Realism, Translation Theory.

BIBLIOGRAPHY

- Gikandi, S. and E. Mwangi, eds. (2007), *Columbia Guide to East African Literature in English since 1945*.
- Irele, A. and S. Gikandi, eds. (2004), *Cambridge History of African and Caribbean Literature*, 2 vols.
- Kahari, G.P. (1990), *Rise of the Shona Novel*.
- Killam, G.D., ed. (1984), *Writing of East and Central Africa*.
- Owomoyela, O., ed. (1993), *History of Twentieth-Century African Literatures*.
- Roscoe, A., ed. (2008), *Columbia Guide to Central African Literature in English since 1945*.

Écriture Féminine see Feminist Theory

Editing

DAVID GREETHAM

Compared with other literary genres, the novel has a relatively recent history, and thus the editing of the novel does not have the long tradition of textual criticism associated with, for example, EPIC, drama, or poetry. Moreover, while we can safely trace the editing of these ancient genres back to at least the time of the Alexandrian librarians and their editing of Homer and the Greek tragedians, the beginning of the editing of the novel cannot unambiguously be assigned to a specific period. This may also be partly a problem of GENRE. While the *Oxford English Dictionary* does not record the word *novel* (as a fictitious narrative of some length) before the mid-seventeenth century, there have been some attempts to begin the novel, and thus the possible editing of the novel, at earlier points. If, say, Geoffrey Chaucer's verse *Troilus and Criseyde* (ca. 1385) is to be regarded as a form of the PSYCHOLOGICAL novel, then the editing of that work begins with the first scribal redactions in the fourteenth century; or if Thomas Malory's *Le Morte D'Arthur* (ca. 1470) is similarly a (prose) novel, then Caxton's structural and teleological recomposition of Malory is an example of early editing in the genre (see DEFINITIONS).

But, given the assumption that the novel in Europe was only invented in the seventeenth century, then any account of its editing will have a more limited historical record than that of other genres. It may also be that because of its latecomer status, editing the novel may have inherited editorial principles and procedures derived from other genres and perhaps improperly imported into this modern form. Moreover, the comparatively limited historical range of

textual criticism is more than offset by the explosion of editorial work on some canonical novelists. For example, the two anthologies edited by Alexander Pettit contain essays on the editing of Tobias Smollett, Aphra Behn, Daniel Defoe, Samuel Richardson, Mary Shelley, Robert Louis Stevenson, William Makepeace Thackeray, Theodore Dreiser, Joseph Conrad, Willa Cather, William Faulkner, and William Styron, together with important essays on editing principles for novels. The 1995 Pettit was itself a conscious response to, and updating of, the 1975 *Studies in the Novel* survey (see Tanselle, 1975b). The Bornstein volume has essays on editing James Joyce, Virginia Woolf, Faulkner, and D. H. Lawrence. Gaskell's study covers Richardson, Walter Scott, Charles Dickens, Thackeray, Nathaniel Hawthorne, Thomas Hardy, and Joyce. The Greetham collection contains essays on the editing of novels and other genres in eighteenth-century English literature, nineteenth-century British fiction, colonial and nineteenth-century American, twentieth-century American and British, as well as early modern French, Italian, German, and Russian, and thus includes brief accounts of the editing of such novelists as Henry Fielding, Fanny Burney, Dickens, George Eliot, the Brontës, Hardy, Conrad, William Dean Howells, Washington Irving, Herman Melville, Mark Twain, Dreiser, H. G. Wells, Woolf, F. Scott Fitzgerald, Joyce, George Orwell, Gustave Flaubert, Voltaire, Franz Kafka, Thomas Mann, Nikolay Gogol, Maksim Gorky, Fyodor Dostoyevsky, and Leo Tolstoy. The treatment of Spanish novels recently took an enormous step forward in Francisco Rico's editing of Miguel de Cervantes Saavedra's *Don Quixote* (1605, 1615), especially in the companion volumes of textual commentary, with the sort of technical "analytical" bibliography previously associated with the editing of Anglo-American novels under the auspices of the

Modern Language Association's Committee on Scholarly Editing (2005, *El Texto del "Quijote"*; 2005, *Don Quijote de la Mancha*). And such detailed technical research by Allan C. Dooley (1992, *Author and Printer in Victorian England*) has examined the relationship between technology and the Victorian novel, demonstrating that, for example, the publisher's setting of Eliot's *Middlemarch* (1871–72) in easily reprintable stereotypes was a testimony to the novelist's status as a bankable commodity (see PAPER AND PRINT). But perhaps the two most characteristic editing debates of late have focused on Joyce and Lawrence, with editors having generated a huge array of often very contentious responses to the textual condition of their works and the editorial methods brought to bear on them. As collections such as the Rossman on Joyce, and Ross and Jackson on Lawrence demonstrate, the critical dust has by no means settled on the editing of the major modernists, and passions can often run high. In Dennis Jackson's account of "Reception History" within the 1995 Lawrence collection, there were some 120 books, articles, and reviews published between 1975 and 1993 on various aspects of just the Cambridge edition of Lawrence, not counting the nineteen volumes of Lawrence's own works published by Cambridge during the same period. With Joyce, the ongoing publication history is even more voluminous and acrimonious, involving several lawsuits (and even formal trials), in addition to the hundreds of essays and books on the editing of the author (see MODERNISM).

LITERARY PROPRIETORSHIP

In fact, with the recent extension of COPYRIGHT by both the U.S. Supreme Court and the European Union, based specifically on the publication date of Joyce's *Ulysses*

(1922), there is no end in sight to the conflicts. While it is perhaps unfortunate for the scholarly dignity of literature that the Supreme Court decision should have earned the sobriquet of the "Mickey Mouse Protection" case, it is a reality that both the Disney character and the Joyce novel were created in the 1920s and are again protected property when they would otherwise have been in the public domain. The commodification of literature is a recognized part of the history of editing (especially the novel) and is, of course, a discouragement to further editing of the modernists without the prior approval of the estates and their financial interests.

While not as personally vituperative as the "Joyce Wars," the editorial debates over Lawrence have been characterized by claims of dissimulation, even literary fraud. Thus, when Cambridge University Press (the licensed operative for the Lawrence estate) tried to start the copyright clock ticking anew when its edition of *Sons and Lovers* appeared in 1992, the claim was based on the very dubious assertion that the restoration of some cuts made by the editor Edward Garnett in the 1913 first edition entitled the publisher and estate to regard the novel as a "new" work, rather than a mere "edition" of an old one.

These two examples do at least show that the recent history of editing the novel is not a dryas dust matter of mere technicalities but is as infused with passion as are the critical battles over poststructuralism, postmodernism, GENDER studies, and the like (see STRUCTURALISM). In fact, most contemporary practitioners of textual criticism would agree that the "criticism" part of that phrase is as speculative, interrogative, and rhetorical as any of the other intellectual debates that literature can produce. But, apart from the obvious personal and institutional stakes in Joyce and Lawrence, what sort of intellectual and critical issues do editors of these and other authors confront?

MULTIPLE INTENTIONS

For Lawrence (and especially for the canonical *Sons and Lovers*), the debates center around authorial intention—one of the hoariest of textual questions—and the ontology of the work. Briefly put, did Lawrence acquiesce under editorial pressure to the cuts made in the original 1913 edition (without the “steamy bits”), and does the posthumous publication of the intentions shown in the authorial manuscript make the Cambridge edition a *different* work? Or, did Lawrence expect (even anticipate) some editorial intervention—as argued by, for example Eugene Goodheart (in Bornstein)—and does the later restoration amount to just a series of emendations without bestowing a new ontology on the work? A related sociocultural issue is whether the status of the critical use of the *mediated* text, including the widespread classroom use, provides a separate validity to the eighty-year history of reading, no matter what value is now placed on the Cambridge edition, a validity that may be superseded by the later edition but not erased by it.

Virtually these same questions are shared by a number of other canonical modern novels. For example, the original authorial version of Dreiser’s *Sister Carrie* (1900) was withdrawn just before publication and an “expurgated” version issued in its stead. It was this version that was read (and thus formed the basis of critical evaluation of Dreiser’s work) for most of the twentieth century, until the Pennsylvania edition restored the cuts made to the original when published in 1981. Here a commodification of the editing of the novel becomes a reality that must be faced. The Pennsylvania edition is a serious, scholarly, and very expensive production, and it is doubtful that its publication would have changed the critical landscape if Penguin had not picked up the paperback rights and made the later edition

available for public (and classroom) use. With *Sister Carrie*, the differences are not just in the “steamy bits” (though these are again significant) but also the structure, shape, and even the ending of the novel: there is a difference of roughly 80,000 words between 1900 and 1981. Does this difference not make a new novel and force reading and criticism to begin anew?

Dreiser and Lawrence are no longer available for adjudication of this question (and besides, Lawrence’s documented comments are ambiguous at best), but Styron did have an opportunity to address it. As James L. W. West III records (“The Scholarly Editor as Biographer,” in Pettit 1995), when he was assigned the responsibility to produce a uniform edition of the Styron novels, the editor approached the author with the chance to restore the similarly “steamy” cuts that had been made in Styron’s first novel, *Lie Down in Darkness* (1951), published when the author was not yet the famous novelist of *Sophie’s Choice* (1979) and *The Confessions of Nat Turner* (1967)—in other words, *before* he was “William Styron” (see AUTHORSHIP). West fully expected Styron to leap at this opportunity to publish his original intentions, but, after considering the editing changes made to his first novel, Styron decided that, on balance, these publisher’s cuts had improved the work and decided to keep the work as is. Would Lawrence and Dreiser have done the same?

And what happens when the novelist is both author *and* publisher? How does this change the balance of power and the likely differences between original and final intentions? The best-known example of this cultural conundrum is the work of Virginia Woolf, who, with her husband Leonard, controlled the publications of the Hogarth Press, by which the canonical Woolf novels were made public. While it is something of a simplification, the manuscript versions of several Woolf novels can be seen as more

“feminist,” more “political,” and more critical of contemporary society than the published book forms: as Brenda R. Silver puts it, “the early drafts . . . are often far more explicit in their social and political attitudes” (in Bornstein, 201). Of course, it can always be argued that it was her husband’s influence that toned down the more overt sentiments of the manuscript versions, but the fact remains that it was finally within the author’s prerogative to make her works more socially acceptable, a prerogative that was not available to Lawrence, Dreiser, and (originally) Styron. It is perhaps inevitable that recent textual and critical attention has been turned on these manuscript versions of the Woolf oeuvre.

This same question of shifting intentions surfaces in the work of many other novelists. As was the custom in the Victorian period, the novels of Thomas Hardy were first published in serial format and only later in book form (see *SERIALIZATION*). There are again major differences between the two formats for several of Hardy’s novels, including *Tess of the d’Urbervilles* (1891) and *Jude the Obscure* (1895), and again these differences tend toward a softening of the social and sexual critique, a tendency that is even more pronounced when the original manuscript readings are added to the record. What is the “real” Hardy: the initial intentions of the manuscripts, the partially socially mediated versions in the serials, or the public presence of the first editions? In the case of Hardy, we do know that the unfavorable cultural response to such novels as *Tess* and *Jude* led the novelist to “edit” himself, in the most critical way: to stop writing novels and to turn to poetry (see *CENSORSHIP*).

AUTHORIAL REVISIONS

Another, perhaps even more problematic, example of the self-editing of the Victorian

novel occurs in Dickens’s *Great Expectations* (1861). The story goes that Dickens had originally written an ending to the story of Pip and Estella that was, well, not “Dickensian,” in the sense that the relationship between the two was left unresolved and the reader not given the sort of narrative satisfaction of other Dickens novels. Such, anyway, seems to have been the opinion of Edward Bulwer-Lytton who, as a friend and colleague of Dickens, advised the author that the original ending would not provide the reader with the sort of *CLOSURE* expected. Whatever actually happened during a week-end critique of *Great Expectations*, we do know that Dickens set about revising the ending, going through at least six different attempts until he came up with the more “final” version published in the first book edition. It was this “resolved” version that all readers of Dickens were exposed to until the account of the Bulwer-Lytton critique became known. Ironically, the cultural difference of the two endings is shown in a comparison between, on the one hand, the 1946 David Lean film, in which the curtains of Miss Havisham’s room are thrust aside and the two lovers walk together into the sunshine to soaring musical accompaniment, and the other, 1996 version, in which the hands of Gwyneth Paltrow and Ethan Hawke are shown hovering around each other in uncertainty for some time before any attempt at a “resolution.” The differences in the films, each faithful to one of Dickens’s intentions, can easily be explained: in the immediate postwar period, audiences did not want irresolution but confident and hopeful faith; in a postmodernist world, such grand narratives could be set aside and deferred resolution made acceptable.

Again, the problem for the reader-critic’s response to *Great Expectations* is that, after having been accustomed to the first-edition text, even though it represents not so much Dickens’s sole intentions but those of

Bulwer-Lytton as well, how is it possible to “unread” this history and to deal with Dickens’s now-available original intentions? This difficulty is perhaps exacerbated by our knowing that Dickens never authorized the publication of these original intentions and that, during his lifetime and much beyond, the socially mediated version with the “happy” ending was the only one available.

A similar challenge to the reader-critic occurs in confronting the “New York” edition of the novels of Henry James (1907–09, 24 vols.), a uniform revision of previously published texts prepared by the author himself and often involving major stylistic and substantive rewriting of these texts. Again, it may be an oversimplification of a complex process, but in general this later New York edition offers the reader a denser, more stylistically convoluted James than the earlier editions. While there is no doubt that James is fully responsible for this stylistic remaking (by the time the New York edition appeared, James was much too established a literary presence to have to negotiate with a publisher’s editor as Lawrence did with *Sons and Lovers*), there will be those readers for whom the first-edition James novels are more amenable and approachable than the thorny prose of the final intentions. Which James should we read?

At least the New York revisions by James do provide coherent and consistent narratives, but, if Hershel Parker is correct in his assessment of the attempts by other American novelists to rewrite their works, the results may be a perplexing mixture of two different (and perhaps contradictory) textual states. As Parker puts it in his survey of revised novels by Melville (*White-Jacket*, 1850), Twain (*Huckleberry Finn*, 1885; *Pudd’nhead Wilson*, 1894), Norman Mailer (*An American Dream*, 1965), Stephen Crane (*Maggie*, 1893; *The Red Badge of Courage*, 1895), Fitzgerald (*Tender Is the Night*, 1934), and other central canonical

texts, “sometimes a passage in a text will embody two different and contradictory authorial intentions rather than one consistent authorial meaning” (7). These contradictions in the process of revision might be the result of some intervening external event between the original and the revised version, as when the assassination of John F. Kennedy caused Mailer to revise the text of *An American Dream* (1965) as published in *Esquire* magazine for the first book edition by the Dial Press, a revision that, according to Parker, produced a hybrid and internally inconsistent narrative. Or the disjuncts might be the result of the sort of editorial intervention already seen in Lawrence, as when Crane undertook the self-censoring of the text of the 1893 privately printed *Maggie* (under the insistence of the editor Ripley Hitchcock) for the Appleton “first” edition, to produce a text that, according to Parker, “contains nonsense rather than any particular meaning” (12).

But even when such narrative or stylistic disjuncts in revised texts do not so obviously occur, a comparison of early and later texts can often yield surprising results. For example, in the first edition of Melville’s *Typee* (1846), the author devoted considerable attention, based on his own experiences in the Pacific, to the harmful activities of Christian missionaries. Perhaps inevitably, these passages generated some criticism, although the book was a great commercial success. When a second edition was called for, Melville considered these negative responses and decided that, while as author he still had control over the content of the work, in his view the critical passages in the first edition detracted from the narrative and structural shape of the book, and he therefore opted to omit them from the second edition. But when the editors of the “definitive” Northwestern-Newberry edition (1968–) of Melville confronted these textual facts, although they were in theory

operating under the principle of “final intentions,” they decided that Melville’s documented intentions in the second edition were perhaps not really “final,” and that the first-edition passages should be restored. As G. Thomas Tanselle puts it:

There is no question that Melville is responsible for the changes, and in this sense they are “final”; but they represent not so much his intention as his acquiescence. Under these circumstances, an editor is justified in rejecting the revisions and adopting the original readings as best reflecting the author’s “final intentions”; in fact, to accept the readings which are final in chronological terms would distort that intention. . . . In the end, one cannot automatically accept such statements at face value; as in any historical research, statements can only be interpreted by placing them in their context. (1976, 193–94)

While this rhetorical play on the distinction between “intention” and “acquiescence” is clearly a valid argument (as the examples from Lawrence and others demonstrate), the “context” in which Tanselle wants to place Melville’s decision is very different from that faced by Lawrence or Styron, beginning authors who needed to get published and were therefore under editorial pressure to “acquiesce” to censorship. At the time he was preparing the second edition of *Typee*, Melville was already a successful author (in fact, the passages to be “censored” had already appeared in the first edition). If he did “acquiesce,” Melville’s decision to remove the critical passages from *Typee* was more akin to Dickens’s having taken Bulwer-Lytton’s comments on the initial version of *Great Expectations* to heart and exercised his authorial privilege to change his mind. As in the example of *Great Expectations*, the reader-critic is left with the problem of which text to encounter and which to use in responding critically to the author.

METHODS OF PRESENTATION

This question of response is rendered particularly difficult when confronting a magisterial edition like that of the Northwestern–Newberry Melville (or now, perhaps, the Cambridge Lawrence or the Pennsylvania Dreiser). And the “magisterial,” “definitive” qualities of the monumental multi-volume Melville are made even more problematic by the editorial methods of the edition, especially its use of clear-text presentation. In brief, a “clear-text” edition, as the name suggests, provides a continuous reading text that shows no signs of the editorial intervention necessary to produce that text: all such evidence is safely consigned to the back of the book (or, in some cases, even to a separate volume). There are obvious advantages to these clear-texts: they allow the reader to proceed without interruption and to turn to the critical apparatus at the end only if specifically interested in editorial decisions and their rationale, or perhaps if a passage in the clear-text seems to require explication on how it got to that form. If the reader is willing to keep a finger simultaneously in two parts of the edited volume (and to shift back and forth between these two parts), then the needs and prerogatives of both author and editor can perhaps be met.

But what happens to this reciprocity when, in a reprint edition, only the silently emended text is available to the reader, and the critical apparatus on which it is based is simply not available? Given that such clear-text reprints of Lawrence, Dreiser, and Melville are indeed on the market, and given that one of the main rationales of the clear-text theory is precisely to make such reprints easy to produce, how are we to respond to and navigate the editorially constructed but mute texts of canonical authors?

This issue—clear-texts versus what are usually called “inclusive texts” (in which

the evidence of editorial intervention is presented directly to the reader on the textual page)—is one that, with its attendant ramifications, has driven much of the editorial debate of late and is connected to several other aspects of editing theory and practice. To return to Joyce for a moment, the three-volume “synchronic” Gabler edition of *Ulysses*—which generated the so-called “scandal” (Kidd, *New York Review of Books* 35, 30 June 1988) and a vituperative debate—presented the Joyce text in two different states: on the left-hand “verso” page Gabler produced an inclusive text, marked with an array of editorial sigla to show the diachronic evolution of the novel; on the right “recto” page was a clear-text displaying what Gabler took to be Joyce’s final intentions. The Gabler edition therefore married two different editing dispensations: the diachronic has been primarily associated with Franco-German “genetic” editing, in which the critical interest is in *process* rather than *product* and has underwritten editions of Kafka’s *Der Schloß* (1926, *The Castle*); Flaubert’s *Un cœur simple* (1877, *A Simple Heart*); Marcel Proust’s *Le temps retrouvé* (1927, *Time Regained*), specifically, the last section of *À la recherche du temps perdu* (1913–27, *Remembrance of Things Past*); as well as editions in other genres, especially poetry—Friedrich Hölderlin (1770–1843), Friedrich Gottlieb Klopstock (1724–1803), Conrad Ferdinand Meyer (1825–98)—and diaries (Klopstock again). Allied to a concern with rough drafts (*brouillons* or *Arbeitsmanuskripte*), this continental emphasis has been very different from the typical Anglo-American concentration on final intentions.

As already noted, even under the auspices of final intentions, editors can produce highly variant editions; but in general, during the hegemony of Anglo-American copy-text theory (roughly 1950s–1980s), an

“eclectic” text drawn from the evidence of several witnesses was constructed to enshrine an ideal text that might never have existed in any single document but could be produced by a process involving “dual authority.” This meant that the “accidentals” (or surface features of a text—the punctuation, spelling, capitalization, and so on) might be drawn from one state of the text—usually the earliest surviving, ideally an authorial manuscript or barring that, first edition—but the “substantives” (the words themselves) might come from different states, especially when it could be shown that an author had revised the wording of a *later* state than that preserving the accidentals.

Although derived from the special circumstances of English Renaissance drama (Greg), where very few authorial manuscripts survived, this copy-text theory was then imported into the editing of other genres, largely through the enormous influence of Fredson Bowers and his disciple G. Thomas Tanselle. These other genres included poetry, philosophy, and the novel. For example, Bowers acted as textual editor of the Wesleyan Fielding edition (1967-, gen. ed. William B. Coley), and thus, in the edition of *Tom Jones* (1749), when Bowers could prove that the third edition was set not from the expected second edition but from the first, this made the accidentals of the first more authoritative than those of the second, though Fielding’s substantive changes from the third could then be inserted into the eclectic text of the Wesleyan edition. Under these same eclectic principles, Bowers’s edition of Crane’s *Maggie* strives for that very perfectability that Parker so passionately rejects. His edition presents a clear-text, with separate apparatus for textual notes, substantive variants, emendation of accidentals, end-of-line hyphenation, and historical collation (a record of all the variants recorded in multiple states

of the text). In such an eclectic clear-text, *product* is thus emphasized over *process*, although theoretically the *process* can be reconstructed from the back-of-the-book apparatus.

A different sort of concern with *product* motivated an earlier generation of editorial work on novels, among other genres. Under R. W. Chapman's principle of "deathbed" copy-text, the last printed edition of a work produced during an author's lifetime (whether or not this could be shown to have been overseen by the author) would usually be regarded as the most authoritative. Chapman's standard edition of the novels of Jane Austen (1924) was for many years regarded as emblematic of this approach. In a direct conflict with Bowers's eclectic principles, Philip Gaskell typically placed more authority on the first print edition of a novel, even in preference to authorial manuscripts, where they existed, although obvious errors in the print edition could be corrected.

The importance (and the peculiarity) of the facing-page Gabler edition of Joyce was that it tried to have it both ways: as a student of Bowers, Gabler felt that final intentions and a clear reading text were still desirable; but as a product of the Franco-German genetic school, he also felt that the evolution of the text should be given equal prominence. It may be that this dual inheritance produced what have been called "estranging openings" (two irreconcilable ways of editing and reading), and Gabler's determination has not resulted in a spate of simultaneously genetic and final intention editions of novels. In fact, the three-volume synoptic and critical edition of *Ulysses* is no longer available, and we are left only with the clear-text, either in a form of the Gabler recto pages or its close relative, a "new" version of the *Rose Reader's Edition* (2004).

As in the case of Franco-German genetic editing already mentioned (see Deppman et al., Werner et al.), non-Anglophone

editing of the novel has proceeded under auspices different from the Anglo-American and created very different methods of presentation. Indeed, as noted by Lernout, there are several competing "national" schools—French, German (Nutt-Kofoth et al.), Italian (Pasquali, 1974, *Storia della tradizione e critica del testo*), Scandinavian (through the 1995-, *Nordiskt Nätverk för Editionsfilologer*), Russian (Mikhailov et al.), and so on. While Lernout describes a fairly close collaboration between German and French textual scholars in recent decades, in general each European literature has created its own traditions. Italian and Spanish editors have been more concerned with medieval and Renaissance works—Rico's *Quijote* and Vittore Branca's *Decameron* (1348–53) being outstanding examples—and usually with poetry—Dante (1265–1321), Ariosto (1474–1533)—rather than modern prose fiction, and so lie outside the scope of this entry. As the account of Russian literature in Kasinec and Whittaker (in Greetham) demonstrates, the Soviet period brought both the benefits of a centralized archival system and the disadvantages of state censorship. In the post-Soviet climate, new editions of Tolstoy, Gogol, and other canonical figures have been undertaken, along with those of formerly suppressed authors (Mikhail Bulgakov, Ivan Goncharov, and Aleksandr Solzhenitsyn, the latter in a planned thirty-volume uniform edition comparable to those of Anglo-American novelists).

With Franco-German editing, one of the undeniable problems of "presentation" has been that the genetic method, because of its concentration on "process," retains a much fuller documentary record to be negotiated by the reader. As Lernout notes, Flaubert's *Un Coeur Simple* is usually no more than thirty pages in a clear-text edition, but in the "genetic dossier" is over seven hundred pages. Lernout similarly records that the

genetic dossier of Zola's *Le Rêve* (1888, *The Dream*) sponsored by L'Institut des textes et manuscrits modernes (ITEM) is the least used source for the novel online. There may be too much evidence, and the existence (and success) of both the *Pléiade* editions of French literature and the Library of America, where textual apparatus is kept to a minimum and printed at the end of the volume, does seem to suggest that *critique génétique* may be more interesting in theory than in practice. With recent expansion of the Library of America to include living authors (e.g., Philip Roth), the definition and range of the "canonical" author has become even more comprehensive.

Despite (or perhaps because of) these international debates and the spirited debates on Joyce, Lawrence, and other novelists, it can confidently be predicted that the textual criticism involved in editing novels is going through a period of renewed vitality. After the hegemony of the copy-text school that was so productive, particularly in the editing of American novels of the nineteenth century—as the disparity and range between, say, the genetic and final intentions approaches show—there may no longer be a consensus, but the editing of the novel is now firmly a part of the general critical discussions of our time. The Melville edition might now be finished—although Parker's 1995 "Kraken" edition of *Pierre* (1852) follows very different principles and has generated much heated debate—but with ongoing editions of Hardy, Thackeray, Austen, Dickens, Fitzgerald, Faulkner, and many others offering a wide choice of methods and results, the editing of the novel is very much alive. While editing still focuses primarily on print, the future can perhaps best be seen in Danis Rose and John O'Hanlon's 2010 edition of Joyce's *Finnegans Wake* (1939), for which the Houyhnhnm Press clear-text print version is to be supplemented by an electronic

hypertext apparatus. This is described by the editors in an Afterword in the accompanying booklet (also containing a general introduction by Greetham and a textual foreword by Gabler). The Houyhnhnm limited edition is linked to a trade press edition by Penguin. Half a century ago, Bruce Harkness (1959) raised the charge that textual critics did not take editing novels seriously. Such a position would now be very difficult to sustain.

SEE ALSO: Adaptation/Appropriation, Publishing, Typography.

BIBLIOGRAPHY

- Bornstein, G., ed. (1991), *Representing Modernist Texts*.
- Bowers, F. (1964), "Some Principles for Scholarly Editions of Nineteenth-Century American Authors," *Studies in Bibliography* 17:223–28.
- Bowers, F. (1970), "Greg's 'Rationale of Copy-Text' Revisited," *Studies in Bibliography* 31:90–161.
- Deppman, J., D. Ferrer, and M. Groden, eds. (2004), *Genetic Criticism*.
- Gabler, H.W., G. Bornstein, and G.B. Pierce, eds. (1995), *Contemporary German Editorial Theory*.
- Gaskell, P. (1978), *From Writer to Reader*.
- Greetham, D.C., ed. (1995), *Scholarly Editing*.
- Greg, W.W. (1950–51), "The Rationale of Copy-Text," *Studies in Bibliography* 3:19–36.
- Harkness, B. (1959), "Bibliography and the Novelistic Fallacy," *Studies in Bibliography* 12:59–73.
- Lernout, G. (2010), "Continental Editorial Theory," in *Cambridge Companion to Textual Scholarship*, ed. N. Fraistat and J. Flanders.
- Mikhailov, A., A. Grichounine, and D. Ferrer, eds. (2007), *Textologie russe*.
- Nutt-Kofoth, R., B. Plachta, H.T.M. Van Vliet et al., eds. (2000), *Text und Edition*.
- Parker, H. (1984), *Flawed Texts and Verbal Icons*.
- Pettit, A., ed. (1995), *Editing Novels and Novelists*, Now, special issue, *Studies in the Novel* 27.
- Pettit, A., ed. (2002), *Textual Studies and the Common Reader*.
- Ross, C.L. and D. Jackson, eds. (1995), *Editing D. H. Lawrence*.

- Rossmann, C., ed. (1990), *Editing "Ulysses,"* special issue, *Studies in the Novel* 22.
- Tanselle, G.T. (1975a), "Greg's Theory of Copy-Text and the Editing of American Literature," *Studies in Bibliography* 28:167–229.
- Tanselle, G.T. (1975b), "Problems and Accomplishments in the Editing of the Novel," *Studies in the Novel* 7:323–60.
- Tanselle, G.T. (1976), "The Editorial Problem of Final Authorial Intention," *Studies in Bibliography* 29:167–211.
- Werner, M. and W. Woessler, eds. (1987), *Édition et Manuscrits*.

Ekphrasis *see* Description

Embedded Narrative *see* Frame

Ending *see* Closure

Epic

PETER TOOHEY

The three most famous works of ancient epic poetry are the *Iliad* and the *Odyssey* by Homer (ninth or eighth century BCE?) and the *Aeneid* by Virgil (70–19 BCE). This trio overshadows the many other extant examples of Greek and Roman epic poetry. Little wonder. These three poems represent the pinnacle of ancient literary achievement in the West. Their prominence, however, has led to the neglect both by classicists and by readers of modern literature of a number of other very interesting texts. This neglect tends to distort the manner by which ancient epic, and perhaps epic generally, is understood.

The range of what is normally understood as ancient epic is surprising in its size and variety. There are a number of poems, for example, whose appeal seems to be directed primarily at the wider community and its values. Their focus can be on either mythological events or on real historical events (see MYTHOLOGY). Homer's two poems (ca. 750 BCE) are examples of the former, as is Virgil's *Aeneid* (19 BCE). But there is also the *Argo-*

nautica of Valerius Flaccus (early 90s CE), a retelling of the legends associated with Jason and the *Argo* and, amongst the historical exemplars of this form, the fragmentary epic on the First Punic War (264–241 BCE) by Naevius, and the *Annales* of Quintus Ennius on the Second Punic War (218–201 BCE); there are also Lucan's *Civil War* (ca. 63 CE), concerning the civil conflicts that closed the Roman Republic, and a seventeen-book *Punica* (ca. 80–90 CE, also on the Second Punic War) by Silius Italicus.

Other epic poems eschew the public role and seem to focus on the private realm of affect. Much of the Argonautic epic of Apollonius of Rhodes (third century BCE) concerns itself with love. Ovid's *Metamorphoses* (pub. 7–8 CE) represents the best example of this type of poem. But Ovid is following the example set, for example, by Callimachus in his *Hecale* (ca. 270 BCE), a small-scale epic on some of the more obscure events in the life of the mythological hero Theseus. Ovid is also indebted to Catullus's sixty-fourth poem (ca. 60s BCE), a small-scale or miniature epic, again concerning itself with Theseus but also Ariadne.

There is a third group of poems whose narrative is best characterized by the term "evasion": this is a literature that involves the suspension of the circumstances of normal human actions (usually in order to illustrate a simple moral point) and which aims, through the evocation of an imaginary realm (inevitably mythological), to escape the real and the quotidian. Much of Ovid's *Metamorphoses* might be considered from this viewpoint. So too should Statius's *Thebaid* (pub. 90s CE), a poem which recounts the events relating to the "Seven against Thebes."

WHAT WAS ANCIENT EPIC?

Were we asked to define the nature of such ancient epic poems, we would probably

produce a definition that would emphasize the following: they contain narratives relating to the heroic actions of mythological or historical heroes, they display a concern for the relations between these heroes and divine powers, their length is matched with an elevation of style, they use the hexameter, they are an ostensible glorification of the past, and they are often accompanied by repetition of description, by catalogues, and by fixed descriptive formulas. Most of these poems also exhibit features such as similes, battles, set speeches, invocations of the Muses, councils of the gods and of the leaders, and the description of shields and other artifacts. But such a description may misrepresent the actual diversity of ancient epic.

Were we to look at the ancient definitions of epic and at the surviving hexametric poetry that matches these descriptions, then a much more diverse or even amorphous picture would emerge. Are there surviving ancient discussions of epic? Aristotle (384–322 BCE), in *Poetics* chaps. 23 and 24, offers some help. But his is a very prescriptive description (an epic must have a plot structure which is “dramatically” put together; the plot should present a single action “with beginning, middle and end”; epic should have a unity that is not merely temporal or sequential, nor one that is produced simply by concentrating on a single hero). Such an account, however sensible, does not provide definitions capable of embracing the full range of ancient epic literature. Quintilian (35–ca. 96 CE) and Manilius (f. first century CE) are more useful. Quintilian (*Institutio Oratoria* 10.1.46ff., 10.1.85ff.) includes, alongside mythological and historical epic, didactic and pastoral poetry, and even the miniature epic. Manilius, at the beginning of the second book of his *Astronomica* is comparably inclusive.

It appears that Quintilian and Manilius believed that there existed a variety of elas-

tic, ill-defined, but nonetheless recognizable subspecies or subgenres of epic (Toohey, 1992; see GENRE). There is the mythological epic, whose description we have just seen. There is also the didactic epic (e.g., Lucretius, *On the Nature of the Universe*, or Virgil’s *Georgics*; see Toohey, 1996) or, another form, the small-scale epic practiced by the Alexandrian writers in the third century BCE (e.g., Callimachus, and adapted to Rome by Catullus and Ovid). There was heroic epic based on real historical rather than mythological themes. There was even a comic or parodic epic (the pseudo-Homeric *Battle of the Frogs and Mice*; see PARODY). These subgenres could be blended. Some critics argue, for example, that to distinguish didactic from mythological epic is misleading. In Homer the technical and the didactic may be imperceptibly blended with a heroic, mythological narrative. Even length, that traditional synonym for epic, seems to be misleading. While many epics were very long, the average size was probably about six hundred or so lines. That would represent an easy evening’s performance, or the average contents of a papyrus roll. The only element of ancient epic that tends to endure is the meter, mostly but not necessarily the hexameter. Were we, then, to attempt to reformulate the definition of epic, we could probably say little more than that Greek and Roman epic literature generally favored the hexameter as its medium and that it was built from units of a minimum length of about six hundred lines.

Paradoxically, it may have been the apparently indefinable nature of ancient epic that guaranteed its adaptability and its capacity to survive and to flourish. Its survival throughout all periods of antiquity is remarkable. When the themes of mythological epic, for example, became stale, the genre could and did reinvent itself in a historical mode. Thus Lucan’s historical epic could be

thought of as a response to the apparent impasse that Virgil's *Aeneid* had led to. (How could a better mythological epic than the *Aeneid* be written? If it cannot be done, then why not attempt a different type of epic?) The miniature epic, as we see it in Ovid's *Metamorphoses*, can be easily understood as an interwoven concatenation of miniature epics (Crump) and could be read as an answer to the longeurs of the narrative of mythological epic. If mythological themes became dull in the miniature epic, focus could be shifted to didactic matters, anything from science, to gardening, to sex. The very abundance of extant epic poetry from most periods of classical antiquity points to the remarkable adaptability of the genre. The only development that seems to have threatened its survival was the increase in literacy within the ancient world that led inevitably to the dominance of prose. History writing, for example, came to displace one of the original functions of some branches of epic, the recording of public tradition. And scientific writing migrated from the hexameter to the prose treatise (see ANCIENT NARRATIVES, WEST).

ANCIENT EPIC IS NOT A MONOLITHIC GENRE

In many ways the modern novel might be characterized by its very lack of generic parameters. Although DEFINITIONS of the modern novel are not easily formulated, some aspects are clear: its capaciousness, its readiness to adapt and to adopt other generic types, its resultant ability to evolve, and its near-generic formlessness. None of these elements, however, necessarily causes us to deny, in generic terms, its reality. The modern novel seems to be almost infinitely adaptable because of its capacity to absorb and modify the characteristics of other gen-

res. Mikhail BAKHTIN, in his famous essay, "Epic and Novel" (1941), also likes to stress this flexibility of the novel which could be attributed, among other things, to its lack of a generic canon. Bakhtin liked to contrast what he saw as the rigidity of the epic with the flexibility of the novel. This epic genre, he claimed possessed a finished quality that rendered adaptability difficult—marble to the novel's clay, as it were. In part this is because epic focuses on a past that in many ways seems superior to the imaginative territory of the novel, the present.

Bakhtin's famous contrasting characterization of epic and the novel has, despite its influence elsewhere, little applicability to the Greek and Roman versions of epic. That is, unless your ancient epic is limited to the *Iliad* and the *Odyssey* of Homer, the *Aeneid* of Virgil, and those other versions whose focus is primarily on the wider community and its values. For example, under the influence perhaps of Callimachus (ca. 305–240 BCE), Apollonius of Rhodes blended a variety of non-epic characteristics into his *Argonautica*: ROMANCE, the sentimental, the erotic, travel, scientific and didactic lore, humor (see COMEDY), a sharp juxtaposition of the heroic and bourgeois. So does the sprawling and PICARESQUE epic of Nonnus (fl. 450–60 CE). The little-read *Dionysiaca* breaks all of the rules: it is at once compendious and specific; it blends romance, sexual innuendo, and religion, the heroic with the non-heroic, the humorous with the serious. Like the modern novel, its generic affiliations are promiscuous. Epic works such as the *Argonautica*, the *Dionysiaca*, and, to add a third, the *Metamorphoses*—indeed, all of those poems whose focus is on affect—all seem to have approached epic writing in a very different manner from the community orientations of Homer and Virgil, so much so that, in fact, 1960s scholars occasionally refused the status of epic for *Metamorphoses*.

Both Quintilian and Manilius believed that Lucretius's first-century BCE *On the Nature of the Universe*, a hexameter poem on Epicurean science and philosophy, should be classed as an epic poem. Lucretius's epic, for that is what it is, defies classification under the schema adopted by Bakhtin. Where does this leave us? With the very simple conclusion that ancient epic, a most plastic medium, was characterized by great thematic diversity.

ANCIENT EPIC AND THE ANCIENT NOVEL

But what of the ancient novel? What sort of a relationship does ancient epic display toward that version of the novel? Until recently, the ancient novel was characterized by an amalgamated and bowdlerized portrait derived from the five surviving Greek novels—Xenophon of Ephesus's *Ephesiaca* (ca. 100–150 CE), Chariton's *Callirhoë* (first century BCE—second century CE), Achilles Tatius's *Leucippe and Clitophon* (post-150 CE), and Heliodorus's *Aethiopica* (ca. 230 CE). The resultant portrait is termed the “idealized Greek novel.” It is, as that term suggests, highly stylized and, according to the usual description, more or less *sui generis*.

The idealized Greek novel is sometimes described as follows: a pair of young lovers, usually of upstanding virtue, form the focus of the novel, and their amatory experience is detailed in a series of travel and adventure episodes; love is thwarted by a variety of usually strange obstacles (abduction by pirates or bystanders), trials, and temptations in their search for one another. The gods favor their love and loyalty with a final happy reunion. The strict formality of such a prose narrative type might explain why so few examples remain. Such a description is, however, much less readily accepted

these days. There exist other narratives, other fragments, and other summaries of novels which provide correctives to this idealized picture. There are a number of narratives relating to bizarre or violent SEXUALITY. “There are fictional narratives with historical characters and settings . . . tales of fantastic journeys . . . EPISTOLARY fiction . . . fictional ‘eye witness’ reports from Troy . . . Christian fiction . . . and Jewish fiction. . . [W]hat constitutes the ancient novel cannot be demarcated along discrete lines, and . . . the ‘ideal’ romance novel is neither the generic standard nor the norm” (Morales, ix–x). It appears, therefore, that the genre of the ancient novel was as diverse and indeed as plastic as that of ancient epic.

Petronius's novel *Satyricon* (ca. 60 CE), as it is now termed, has a number of strong connections with epic literature. One of these is its “hero,” Encolpius, who seems deliberately to stand for everything an epic hero in Homer's or Virgil's community-directed poems does not, making a deliberate inverse of this form of epic hero. Elimar Klebs seems to have been the first to have asserted that Petronius's *Satyricon* was a parody of sorts of the *Odyssey* and comparable epics. Klebs was right to refer to comparable epics, for the *Satyricon* has epic elements that point beyond the *Odyssey*. So it is that the *Satyricon* details, like the *Odyssey* or the *Argonautica*, the picaresque wanderings of a persecuted hero. The links, however, are more precise: (1) Encolpius is hounded across land and sea by the wrath of a god, Priapus, rather than Odysseus's Poseidon (see *Satyricon*, 139.2); (2) when Giton, Encolpius's young paramour, hides beneath the bed to escape the rivalrous attentions of Ascyllus, he is compared to Odysseus hiding under a sheep to escape from the Cyclops's cave; (3) Encolpius's tortured liaison with Giton parodies that of

Odysseus with Calypso and Circe; and (4) the whole of the Circe episode in the *Satyricon* is reminiscent of events in *Odyssey* 10 where the real Circe dominates the narrative. On a more general level, although the storm and the shipwreck passage in the *Satyricon* mirror *Odyssey* 5 (Croton, therefore, with its *femme fatale* must match and parody the Nausicaa episode), we might just as well have drawn a parallel to the arrival of Aeneas in North Africa in *Aeneid* 1 and 4. Trimalchio's banquet may well recall the banquets on Phaeacia of *Odyssey* 7–8, but they could also be compared to the banquet of *Aeneid* 1. And, finally, there is the prominent miniature-epic within the *Satyricon*, the *Bellum civile*, which is often taken to be a parody of Lucan's epic. These shared elements *Satyricon* hardly suggest parody. Instead, they indicate the easy generic relationship which novels such as that of Petronius held with some forms of epic. One simple way of understanding the *Satyricon* and its epic heritage is to suggest that it achieves its comedic status by inverting the template of the heroic epic associated especially with the *Odyssey*.

The precise link between certain exemplars of the ancient epic tradition (above all Homer's *Odyssey* and Lucan's first-century-CE *Civil War*) and Petronius's *Satyricon* does not prove that the novel is an offspring of epic. All that it demonstrates is that Petronius's novel was. The Greek novels bear no such clear relationship. In fact there is a bewildering array of theories designed to explain the origins of the novel: that it was descended from Greek New Comedy, the epic, the ancient pastoral, and so forth (Holzberg). It makes more sense to say that a prose medium such as the Greek or the Roman novel was the inevitable beneficiary of a world in which increased literacy eroded the generic primacy of epic. The fictional world of the novel piggybacks onto the

fictional world of the epic. But, as we shall see, there is no clear filiation.

EROS, MARRIAGE, EPIC, AND THE NOVEL

Georg LUKÁCS is perhaps the most famous proponent of the view that the novel was spawned by epic, as he argued in *The Theory of the Novel*. Bakhtin believed that the epic and the novel were far too dissimilar for this to have been the case. In the case of ancient epic and the novel, the opinions of neither theorist prove to be especially helpful. The ancient epic, in some manifestations, certainly shares some of the concerns of the novel. But this is not so much a matter of direct influence as it is, presumably, of their sharing the same influences within the same world. Affect comes to matter more in a variety of ancient literary genres as the slow centuries of antiquity passed. In this arena the plastic genres of the ancient epic and the ancient novel, not surprisingly, came to resemble one another.

One way to chart the modes by which the epic seems to move closer to the concerns displayed by the novel is to look at its depiction of the connections between marriage and eros. (In epic such concerns seem to be limited primarily to poems whose focus is on the private realm of affect or on that of evasion.) In the five "canonical" Greek novels, marriage and eros are closely intertwined. In these novels the basis of the attraction between young women and men is erotic, and the anticipated culmination of the narrative resides in their marriage and sexual union. This linking of marriage and eros is a part of the condition termed "romantic love." The linking of marriage and erotic longing is uncommon in ancient literature. It is certainly not common in ancient epic. It seems to appear later in

the history of the genre and it does not establish a strong hold within it. It is almost as if the proper provenance of romantic love were the prose novel. At any rate, the linking within the epic of marriage and erotic longing is to be found in poems such as Apollonius of Rhodes's *Argonautica* 3, Catullus's sixty-fourth poem, Virgil's *Aeneid* 4, and Valerius Flaccus's *Argonautica* 6–8.

How were marriage and erotic longing or romantic love viewed elsewhere in the epic genre? Marriage in ancient epic is usually a fairly traditional affair. It has no necessary link to erotic longing nor to romantic love, since neither represented a precondition for marriage. In epic, marriage is like marriage generally in the ancient world: a socially or legally sanctioned union created for the purpose of the procreation of children. The basis of such marriages—invariably arranged—was neither romantic love, personal fulfillment, or sexual gratification, nor, necessarily, attraction. The basis was the will of one's family. A description of the affective basis of such a relationship might go as follows. It was a select and normally symmetrical relationship between non-kin grounded in mutual affection and loyalty and trust that may be played out in the context of periodical cohabitation and supplemented by sexual relations. Erotic fulfillment and erotic exclusivity play no part in this definition. Eros outside marriage, as you might expect, is seldom symmetrical, is short-lived, and rarely seems to have anything to do with children.

Most of the marriages that are depicted in any detail within ancient epic are of this traditional form. One would like to think that the relationship between Hector and Andromache as it is depicted in *Iliad* 6 was like this, but there is not enough of it in the *Iliad* to make this clear. The relationship between Odysseus and Penelope could certainly be described in this way. Odysseus,

whom we know better than Penelope, displays remarkable loyalty, affection, and eventually trust in his wife. Children, or a child, are crucial to the relationship. Sexual exclusivity is not at issue and should not be confused with loyalty. The reverse side of this form of love and marriage can be seen in the relationship of Paris and Helen that is depicted in *Iliad* 6 alongside that of Hector and Andromache. They have a nonsymmetrical relationship (Helen is a foreigner to Troy; hence she lacks the prerequisite for citizenship and marriage), and one that is based solely on erotic attraction. Children are not involved. Their relationship is ultimately destructive. Paris perishes, Troy falls, and Helen is restored to her husband, Menelaus. Marriage and erotic longing, therefore, seem to be represented as polar opposites, the former as symmetrical and unlinked to erotic overtones, the latter as asymmetrical and dangerous. Marriage and eros, because they are affectively sundered, play little role in the earlier, community-directed epic.

The third book of Apollonius of Rhodes's *Argonautica* is justly famous and provides us with the first example of the conjunction of marriage and erotic desire. Its renown is drawn largely from the vivid description of the romance between the teenage Medea and a young Jason. Medea has been subject to a love charm directed at her by Eros. Athena is behind this. She wants Medea's help for her favorite, Jason (3.25–29). It is, for Medea, love at first sight when she meets Jason (3.275–98). The emotion quickly leads her to abandon her royal home and family (she is a princess) to follow Jason and to assist his pursuit of the Golden Fleece (protected and owned by her father King Aeetes). Medea's decision, however, is not achieved without considerable anguish (which is evoked in almost visceral detail by Apollonius, 3.443–71). The tension between her love for Jason and her loyalty to

her family is realistically drawn. Love triumphs. Jason and Medea do elope. In the fourth book of the poem *Alcinous*, the Phaeacian king from the *Odyssey*, cobbles together a hasty marriage for the pair (4.1161–66). Thus become intertwined, probably for the first time in ancient epic, the themes of normal marriage and erotic longing. It is a heady and, in both senses, a novel brew. Many of the same elements are exploited three-and-a-half centuries later in the other epic retelling of this legend by the troubled Valerius Flaccus. There is no need, here, to go into the details of the depiction of affect, eros, and marriage in Catullus's sixty-fourth poem or in Virgil's *Aeneid* 4, but they demonstrate the same tendencies as are evident in Apollonius. In the former poem, the erotic longing of the abandoned Ariadne is contrasted with the initially felicitous marriage of Peleus and Thetis. In the latter we see the heady combination of erotic longing with a thwarted desire for marriage on the part of the unfortunate and doomed Dido.

The similarities between the epic and the novel do not indicate filiation, or, necessarily, any direct influence. It appears more likely that the causes were social. Marriage was approached in a different way. Individuals were allowed more freedom in their choice of partners. Romantic love, which is all about choice, became a respectable basis for marriage. It is as if societal change (presumably allowing individuals to participate in the choice of their partners, rather than having this choice made for them by their families) invents a whole new group who are susceptible to romantic love, and these are catered to in some of the novels and in some of the epics. It may be significant that the changes we are speaking of occur within those subgenres that focus on mythological narrative, which presumably allowed more flexibility and variety of story line than did the

strictly historical narrative. But we should not make too much of this.

CONCLUSION

Epic seems to have been the most adaptable and the most long-lived of all ancient literary genres. The ancient novel does not seem to have been able to compete effectively with it. I suspect that this is because the more private concerns, which the novel seems to reflect, did not much outlast the rise of Christianity and the later eclipse of Roman civilization. Interest seems to have turned back to a literature that could espouse public or community rather than private values. Epic was good at this. We see therefore a minor flourishing of Christian epics, such as the *Psychomachia* of Prudentius (348–?405 CE), the *Eucharisticus* of Paulinus of Pella (ca. 459 CE), the *Life of St Martin* by Venantius Fortunatus (ca. 540–600 CE), or, in a different vein, the epic paraphrase of the New Testament by Juvencus (mid-third-century CE). Further to the east there is the continuation of the epic tradition in texts such as the *Posthomerica* of Quintus Smyrnaeus (fourth century CE), the *Dionysiaca* of Nonnus of Panopolis (fifth century CE), the *Johannis* of Flavius Cresconius Corippus (composed after 548 CE), or even *Hero and Leander* by Musaeus (second half of the sixth century).

SEE ALSO: Ancient Narratives of China, Ancient Narratives of South Asia, History of the Novel, Theory of the Novel (20th Century).

BIBLIOGRAPHY

Bakhtin, M.M. (1981), "Epic and Novel," in *Dialogic Imagination*, ed. and trans. M. Holquist.

- Crump, M.M. (1931), *Epyllion from Theocritus to Ovid*.
- Heiserman, A. (1977), *Novel before the Novel*.
- Holzberg, N. (1995), *Ancient Novel*, trans. C. Jackson-Holzberg.
- Klebs, E. (1889), "Zur Komposition von Petronius' Satirae," *Philologus* 47:623–35.
- Lukács, G. (1971), *Theory of the Novel*, trans. Anna Bostock.
- Morales, H. (2001), "Introduction," in *Achilles Tatiush*, trans. T. Whitmarsh.
- Toohy, P. (1992), *Reading Epic*.
- Toohy, P. (1996), *Epic Lessons*.

The Epistolary Novel

THOMAS O. BEEBEE

In an epistolary novel, the narrative is conveyed mostly or entirely in one or more sequences of letters. The term *epistolary* derives from the Latin *epistula*, meaning "letter." Fiction in letters was practiced by Egyptian, Greek (e.g., Alciphron), and Roman (e.g., Ovid) writers, but the stories were brief, and we do not know of a novel produced in this manner. The epistolary novel proper originated in the late seventeenth century and peaked in the later half of the eighteenth century, before falling into disfavor. The last quarter of the twentieth century witnessed a revival of the form, with new innovations such as the email novel.

The epistolary novel played a fundamental role in the European rise of the novel, ca. 1670–1800. The 1669 publication of the *Lettres portugaises* (1669, *Portuguese Letters*) by Gabriel-Joseph de Guilleragues opened this era, while the last great product was the *Ultime lettere di Jacopo Ortis* (*The Last Letters of Jacopo Ortis*), written by Ugo Foscolo in 1802. This period coincided with the increasing importance of Enlightenment thought, culminating in the American and French revolutions in the last quarter of the eighteenth century. During

this time, the letter form fulfilled a number of expectations for fiction, arising from its increased marketing toward middle-class and women readers. Perhaps most importantly, it democratized literary discourse, in the sense that the practice of letter writing was deeply embedded in the European middle class and embraced by both genders. It was thus natural for authors of the novel, who frequently did not have training in classical literature or formal rhetoric, to use the letter as a basic building block of longer narratives. In *The Structural Transformation of the Public Sphere* (1989), Jürgen Habermas identifies the letter as a technological breakthrough of the Enlightenment and a fundamental component of the emergent public sphere. The publication of the private through letters, including especially the epistolary novel, had crucial political and social import. Elizabeth Cook has applied Habermas's idea to epistolary fiction, noting: "Just as the social contract produced citizens of political republics . . . the literary contract of the epistolary novel invented and regulated the post-patriarchal private subject as a citizen of the Republic of Letters" (*Epistolary Bodies*, 1996, 16).

Second, the letter form is inherently dialogic, in the sense developed by Mikhail Bakhtin in *The Dialogic Imagination* (1981) and other writings. An epistolary novel may put ideas in conflict, using as its medium the exchanges between different epistolary correspondents. A letter calls for a response and implies a partial point of view rather than an objective "truth." Instead of relying on omniscient narration (see *NARRATOR*), letters recount events from partial perspectives: different correspondents report on the "same" event from different viewpoints. Taken together, these characteristics meant that the epistolary novel could be used to decenter the master narratives of European thought.

LETTERS AS NEWS

As one of the earliest and most fundamental forms for reporting events, letters played a central role in the development of fiction. Like poetry, letter writing was taught in schools as a pragmatic topic and a branch of rhetoric, but the method of teaching involved the imagination to some extent. During the Renaissance, the speeches of Cicero (106–43 BCE) were reformulated as letters, and students wrote letters from or to famous historical or mythical persons (see MYTHOLOGY). Early newspapers were essentially letter collections from correspondents in various parts of the world (see JOURNALISM), and the letters of travelers became bestsellers during the early modern period of Europe. For example, the letters of Italian explorer Amerigo Vespucci (1454–1512), in circulation around 1502, were so well written that they caused his name to become associated with the new hemisphere of the globe readers encountered in his writing.

The new fictional twist that the late seventeenth and early eighteenth centuries gave to letters of travel reversed the situation of travelers and the objects of their inquiries: rather than a European in the Americas, Ispahan, or Constantinople, epistolary travelers' fictions represent a Turk in Paris (Marana), a Chinese in London (Goldsmith), or a Moroccan in Madrid (Cadalso). The novelist, working as both a philosopher and a social critic, has only to imagine someone traveling in an unfamiliar land, but one known to the reader, so that the customs and habits of the place strike the fictional traveler as unusual. An alienation effect results that doubles as *philosophie*, that critical confrontation with the here-and-now of Europe essential to the Enlightenment. This fictional line descends from *L'esploratore turco* (1684, *Letters Writ by a Turkish Spy*) by Giovanni Paolo Marana

through *Lettres persanes* (1721, *Persian Letters*) by Montesquieu, *Lettres d'une péruvienne* (1747, *Letters of a Peruvian Woman*) by Françoise de Graffigny, and *Lettres chinoises* (1740, *Chinese Letters*) by Argens, to *The Citizen of the World* (1762) by Oliver Goldsmith and *Cartas marruecas* (1793, *Moroccan Letters*) by José de Cadalso y Vázquez.

Reading Marana, the French baron Montesquieu was struck by the letter's ability to create a hitherto unseen type of long narrative. In the preface to his *Persian Letters*, called "Quelques réflexions sur les Lettres persanes" ("Some Reflections on the Persian Letters"), he provides crucial testimony for at least part of the appeal of the letter format:

In ordinary novels, digressions are permissible only when they themselves form a new story. Serious discussion has to be excluded; none of the characters having been introduced for purposes of discussion, it would be contrary to the nature and intention of the work. But in using the letter form, in which neither the choice of characters, nor the subjects discussed, have to fit in with any preconceived intentions or plans, the author has taken advantage of the fact that he can include philosophy, politics, and moral discourse with the novel, and can connect everything together with a secret chain which remains, as it were, invisible. (1973, trans. C. J. Betts, 283)

The letter's capacity for linking philosophy, politics, morals, and news to the outline of a plot centered on the adventures of the main letter writer allowed the novel to achieve more prestige in the course of the eighteenth century.

The so-called "rifled mailbag," another form of letter fiction in the early modern period, employs a FRAME-tale narrative device, in which the contents of a postal sack are opened and discussed. The highly political *Il corriere svaligiato* (1644, *The Courier*

Relieved of his Bag) by Ferrante Pallavicino originated the form, although there are examples in most European languages, including the French *La valise trouvée* (1740, *The Found Mailbag*) by Alain-René Lesage. Such fictions publicize the private (see Habermas) in a negative sense, exposing for example the discord between public dignity and private sordidness through the candid confessional mode of the letter.

THE EPISTOLARY NOVEL AS A LOVE STORY

Correspondence also forms affective ties. Letters were crucial to the development of the plot type most associated with the novel, the love story. The letter form is well adapted to the fictional love plot, since the letter represents or substitutes for the lover and is therefore a sign of an interrupted, broken, or unconsummated affair.

Ovid's *Heroides* (ca. 8–5 BCE), a series of letters written by various mythological women to their departed male lovers, was one of the most frequently printed early books of fiction in Europe. The genuine letters between Peter Abelard (1079–1142) and Héloïse d'Argenteuil (1101–64), written in Latin around 1128, were also published, translated, and adapted. As with travel letters, the authenticity of such models led to fictionalized versions that were interpreted by many readers to be real. The *Lettres portugaises* form an epistolary soliloquy of extraordinary erotic and rhetorical power. They report the abandonment of a Portuguese nun who alternately curses her lover, a French officer, begs him to return, and remembers her past with him. Until the twentieth century, the letters were believed to be the genuine writings of the Portuguese nun Mariana Alcoforado (1640–1723). Today they are considered fiction, likely written by the French author Gabriel de

Guilleragues. Whether real or fiction, the letters helped shape the tradition of the epistolary love story, influencing writers such as Aphra Behn, whose *Love-Letters Between a Nobleman and his Sister* (1684–87) is one of the earliest English epistolary novels.

In 1740 Samuel Richardson published *Pamela: Or, Virtue Rewarded*, an innovation in the epistolary love plot that was to change the course of the epistolary novel (see Fig. 1). Pamela works as a servant in a household of the local gentry. She is pursued by her master, who goes so far as to sequester and nearly rape her, but Pamela resists him until he marries her. Pamela's letters are not passionate outpourings to her master but ones to her parents, seeking solace and advice, and ultimately to herself as they become diary entries when she is sequestered. Letters here and in the subsequent *Clarissa* (1747–48) and *Sir Charles Grandison* (1753) function as mirrors for the soul to reflect upon itself, introducing a depth of psychology hitherto unseen in the novel, although some might compare it with *Robinson Crusoe* (1719–22) by Daniel Defoe. Richardson's novels contributed two developments to the epistolary novel. One leads to the "novel of manners," in which letters are used in a realistic fashion to develop and in most cases successfully conclude a marriage plot. The best epistolary novel example in English is *Evelina* (1778) by Fanny Burney. The simultaneous culmination and deconstruction of this genre occurs in Choderlos de Laclos's *Liaisons dangereuses* (1782, *Dangerous Liaisons*), one of the few early epistolary novels still widely read today and adapted for the cinema more than once.

The second line of development leads through the GOTHIC via Sophia Lee's *The Recess* (1783), to Denis Diderot's posthumous *La religieuse* (1796, *The Nun*), Jean-Jacques Rousseau's *La nouvelle Héloïse*



Figure 1 Pamela's master intercepts her letter to her parents in Samuel Richardson's *Pamela*, 1740. Illustration by Gravelot, 1742 ed., facing p. 4. Reproduced with the permission of Rare Books and Manuscripts, Special Collections Library, the Pennsylvania State University Libraries

(1761, *The New Héloïse*), Johann Wolfgang von Goethe's *Leiden des jungen Werther* (1774, *The Sorrows of Young Werther*), Friedrich Hölderlin's *Hyperion* (1799), and Foscolo's *Ultime lettere*. In this line of the epistolary novel, marriage is impossible for one reason or another, and social and political relations play a secondary role to the direct outpouring of the sentiments of the

main correspondents. Goethe's novel provides the ne plus ultra here, because Werther writes to his friend Wilhelm, of whom not a single letter is reproduced, as though Wilhelm were merely an imaginary friend invented by the morbid Werther. The monologic, solipsistic nature of correspondence and writing is intimately connected with the suicide of the protagonist.

For those who emphasize the dialectic of literary form, the epistolary novel would seem to exhaust itself in Goethe and Foscolo. In the nineteenth century, the increasingly important HISTORICAL novel and panoramic urban novel, including the works of Honoré de Balzac and Charles Dickens, provided plots and themes that necessitated omniscient narration, for which the letter is not the optimal form.

THE FEMINIST, POSTSTRUCTURALIST, AND POSTCOLONIAL EPISTOLARY NOVEL

After remaining dormant for more than a century, and in what might be considered a revisiting of and confrontation with the Enlightenment epistolary novel, twentieth-century epistolary novels were published in diverse parts of the globe by men and women of color. Examples include Sengalese Mariama Bâ's *Une si longue lettre* (1980, *So Long a Letter*); African American Alice Walker's *The Color Purple* (1982); Chicana author Ana Castillo's *Mixquiahuala Letters* (1986); Taiwanese Li Ang's *An Unsent Love Letter* (1986); Angolan José Eduardo Agualusa's *Nação crioula* (1997, *Creole*); and Mexican Carlos Fuentes's *La silla del águila* (2002, *The Eagle Throne*). This list of writers is as distinguished as the assembly of eighteenth-century European authors and shows how important the epistolary form has been both to postcolonial letters and to international feminism (see FEMINIST). The letter provides an obvious format for postcolonial subjects to "write back" to the empire. Agualusa's epistolary novel, for example, is both a continuation and contestation of the Portuguese writer José Maria de Eça de Queiroz's epistolary fiction, the *Correspondência de Fradique Mendes* (1900, *The Correspondence of*

Fradique Mendes), whose protagonist is a cultural hero who travels the globe. The letters exchanged follow the routes of trade between Angola, Brazil, and Portugal, and the last letter is written by the native Angolan whom Fradique marries. The first three novels named above also explore feminist themes and thus demonstrate the intersection of issues of GENDER with those of racism and colonization (see RACE). Linda Kauffman posits that what makes the epistolary mode attractive for postcolonial, feminist, and postmodernist writers alike is that it "enables each writer to illustrate how the text is produced, while simultaneously exposing the mechanics of repression" (265).

At the same time, the aesthetics of postmodernism that favored narrative play and PARODY of past forms also led to revivals of the epistolary novel by "first-world" writers, including John Barth's *Letters* (1979), A. S. Byatt's *Possession* (1990), Paige Baty's *E-mail Trouble* (1999), and even philosopher Jacques Derrida's *La carte postale* (1980, *The Postcard*), a work of philosophy and theory that begins with a long epistolary fiction. This hyperconscious use of the genre for the creation of critifiction was anticipated in the Russian theorist Viktor Shklovsky's *Zoo, or Letters Not About Love* (1923; see METAFICTION).

THE EPISTOLARY NOVEL IN NEW MEDIA

As email and text messaging became integrated into people's daily lives, they furnished the basis for a new appropriation of the real into novelistic scenarios. Criticism has only begun to approach the most recent recastings of the epistolary novel in media such as email and text messages. Two distinct formats have emerged. The first reads much like a traditional epistolary novel,

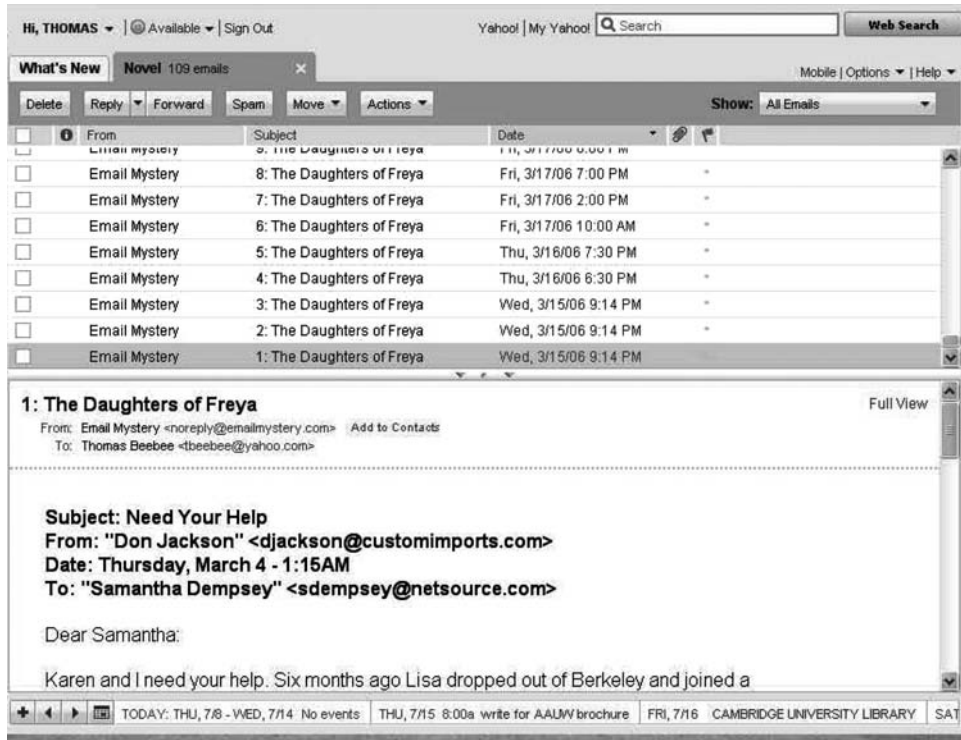


Figure 2 The Epistolary Novel Goes Digital. “Chapter” 45 of *The Daughters of Freya* (2002) displayed among the email messages in the author’s Yahoo account. Photograph by author

except that instead of letters, we read email messages. Examples of this include Avodah Offit’s *Virtual Love* (1994), a traditional erotic exchange in electronic format, and Matthew Beaumont’s *e: A Novel* (2000), which consists of the intra-office electronic correspondence of an advertising company. A second type of email novel is composed of actual emails or text messages sent to the address of the reader-subscriber. The latter form is popular in Japan where companies do not restrict the length of messages. Application of data-mining technologies to this form allows information specific to the subscriber to be entered into the text. There is a strong REALISM effect, since messages can be linked to existing websites. An example of the novel as a series of emails is Michael

Betcherman and David Diamond’s “email mystery” *Daughters of Freya* (2002), about a California sex cult that the protagonist exposes as an enforced prostitution ring (see Fig. 2). The email novel and other twenty-first-century innovations show that the epistolary mode will remain an important option for the creation of novels.

SEE ALSO: Adaptation/Appropriation, Life Writing, Narrative Perspective, Philosophical Novel.

BIBLIOGRAPHY

Altman, J. (1982), *Epistolarity*.

Beebee, T.O. (1999), *Epistolary Fiction in Europe 1500-1850*.

Favret, M.A. (1993), *Romantic Correspondence*.

Gilroy, A. and W. Verhoeven, eds. (2000), *Epistolary Histories*.

Goldsmith, E.C., ed. (1989), *Writing the Female Voice*.

Kauffman, L.S. (1986), *Discourses of Desire*.

MacArthur, E.J. (1990), *Extravagant Narratives*.

Perry, R. (1980), *Women, Letters, and the Novel*.

Simon, S. (2002), *Mail-Orders*.

Erlebte Rede see Discourse

Ethnography see Anthropology

Experimental Novel see Naturalism

F

Fable *see* Mythology

Fabula *see* Formalism

Fairy Tale *see* German Novel

Fantasy *see* Science Fiction/Fantasy

Feminist Theory

ROSANNE KENNEDY

It would be difficult to overstate the impact of feminist theory on studies of the British and American novel. While women historically have been significant as producers and consumers of the novel, they were neglected by critics prior to feminism. In 1976, Ellen Moers proposed that women writers such as Jane Austen and Harriet Beecher Stowe had been marginalized because they “have written novels, a genre with which literary historians and anthologists are still ill at ease” (1976, *Literary Women*, xi). The exclusion of writers such as Mary Shelley and the Brontës was compounded by their preference for popular genres such as the GOTHIC, which were considered unworthy of serious analysis. In recovering neglected novelists and genres, feminist critics have offered radically new accounts of the HISTORY of the novel and how the novel has produced gendered, raced, and sexualized subjectivities, identities, and spheres of power. They have explored the ideological work of the novel in naturalizing imperialism, and have analyzed the gendered effects of colonialism in novels (see IDEOLOGY). They have pioneered studies of the cultural work of affect and examined

the role of popular but discredited “women’s genres” such as MELODRAMA and sentimental fiction in producing NATIONAL identity and belonging (Tompkins; Berlant; see GENRE). The feminist transformation of novel studies has been enabled by the Anglo-American women’s movement and the Civil Rights movement of the 1960s, the entry of women into academic positions in the 1970s, and the subsequent development of feminist theory.

Feminist theory is a diverse, transdisciplinary, international field, which resists summary. It encompasses competing theoretical approaches, national and diasporic traditions, and complex debates. Feminist theory is a political analysis: feminist theorists share the desire to transform as well as understand normative meanings and regimes of GENDER and SEXUALITY, and gendered relations of power. In literary studies, the term “feminist theory” did not gain currency until the 1980s; “feminist literary criticism” was widely used in the 1970s. Criticism offered analysis of the literary language of novels, without interrogating crucial framing concepts such as “woman,” “experience,” “literary,” “tradition,” and the exclusions they produced. By contrast, “theory” aimed to be explicit about the methods and concepts it used and their effects. Feminist theorists interrogated, applied, and extended concepts and approaches from feminism, psychoanalysis (see PSYCHOANALYTIC), post STRUCTURALISM,

critical RACE theory, new historicism, and postcolonialism. Feminist studies of the novel converge with the broader concerns of feminist theory in exploring how novels produce discourses of gender, RACE, sexuality, and CLASS, which intersect with and shape cultural, political, scientific, and economic discourses. Consequently, feminist studies of the novel have contributed significantly to the broader development of feminist theory. Feminist theory cannot be neatly mapped onto the field of novel studies, however, since the concerns of feminist theory exceed the novel as a specific cultural form. In summarizing the cross-fertilizations of feminist theory and the novel, this entry will focus primarily on British and American theory and fiction.

EARLY PERIOD: RECOVERING A FEMALE TRADITION OF THE NOVEL

In the 1970s, feminist literary critics initially explored images of women in works by male authors but quickly turned their attention to women's literary production. Elaine Showalter argued that women writers developed and shared feminine metaphors, themes, styles, and PLOT STRUCTURES, an approach she later termed "gynocriticism." Sandra Gilbert and Susan Gubar explored the challenges and obstacles that confronted women writers in nineteenth-century England. In conflict with their society, women writers inadvertently inscribed in their writings the figure of the author's angry double—the figurative "madwoman in the attic" of Charlotte Brontë's *Jane Eyre* (1847). In the 1980s these foundational works were reproached for theoretical naivety as feminist theory encountered French feminism and poststructuralism. They were criticized for assuming sexual difference rather than showing how

women writers produced and reproduced difference; for falsely universalizing the female experience of white middle-class heterosexual British and American women without attention to race, class, and sexuality; for treating "female experience" as authentic rather than discursively constructed; and for failing to engage with the theoretical insights of French feminism. Showalter later responded to these criticisms in a second edition of *A Literature of Their Own* (1999).

THE 1980s: GENDER, CULTURAL POWER, AND THE NOVEL

By the 1980s, women of color had compellingly challenged white feminist critical frameworks for perpetuating racial hierarchies; they argued that gender should not be analyzed in isolation from other markers of identity, such as race, class, and sexuality. Feminist critics became more explicit about the theoretical basis of their practice, interrogating categories such as "woman" and "difference." In her study of nineteenth-century fictional and nonfictional discourses, Mary Poovey argued that "[t]o reveal the artificiality of the Victorian definition of difference . . . is implicitly to challenge the importance of the category 'woman'; to give this category a history is . . . to call its future into question" (201). Urging feminists to recognize that sexual difference functions as a master-signifier for other differences (see LINGUISTICS), she noted that "articulating difference onto sex has dominated the culture we have inherited and set the terms in which we can work" (201). As a vehicle for circulating meanings, producing new subjectivities, and securing cultural hegemony, the novel has provided fertile ground for investigating the discourses of gender, race, class, and sexuality in a given culture. Hazel Carby, an early proponent of whiteness studies,

advocated “feminist work that interrogates sexual ideologies for their racial specificity and acknowledges whiteness, not just blackness, as a racial categorization” (1987, *Reconstructing Womanhood*, 18).

The 1980s was a rich decade for revisionary feminist analyses of British and American histories of the novel. Developing historicist approaches inspired by Michel Foucault’s analysis of discourse, power, and sexuality, feminists challenged the segregation of literary discourse from the discourse of politics, science, and economics. On the basis of her reading of British novels, educational tracts, and conduct books for and about women, Nancy Armstrong proposed that the middle class achieved dominance by securing cultural as well as economic hegemony (9). She argued that the DOMESTIC novel, regarded as light entertainment, in fact produced new middle-class subjectivities and domestic spheres in which women wielded power. In a pioneering study of American fiction, Jane Tompkins argued that historically important texts such as Stowe’s *Uncle Tom’s Cabin* (1852), tainted by their sentimentality and mass popularity during their own era, wielded cultural power and merited serious analysis. Like other feminists who recuperated popular genres favored by women, Tompkins exposed and challenged the gendered values underpinning the literary canon and the critical assessment of value.

In mapping the historical development of feminist theory and the British novel, two novels have achieved iconic status: *Jane Eyre* and Mary Shelley’s *Frankenstein* (1818). Prior to feminism, these texts were rarely taught, in part because the gothic, which features strongly in both novels, was considered excessively emotional and contrived. Since the 1970s, *Jane Eyre* has been interpreted through virtually every feminist theoretical framework (Showalter; Gilbert and Gubar; Armstrong; Poovey). Brontë’s

novel has inspired novelists, filmmakers, and playwrights, who have produced ADAPTATIONS and revisions, providing additional materials for feminist analysis. The most famous reinscription is Jean Rhys’s postcolonial *Wide Sargasso Sea* (1966), which imagines the life and courtship of the Jamaican Creole, Bertha Mason, before she becomes Mrs. Edward Rochester. Bertha, one of the most analyzed figures in British fiction, has inspired sophisticated analyses of race, colonialism, and feminist Orientalism. In an influential essay, Gayatri Spivak reads *Jane Eyre*, *Wide Sargasso Sea*, and *Frankenstein* for their insights into the “worlding” of the Third World—that is, the role of literature in naturalizing the world order shaped by British imperialism and its colonial hierarchies. Spivak reproaches feminist critics for celebrating *Jane Eyre* as the “feminist individualist heroine” of British fiction, without recognizing that her liberation was enabled by the politics of imperialism. There is a similarly rich and diverse body of feminist readings of *Frankenstein*, particularly focusing on the body, sexuality, and reproduction in life and writing (Hoeveler).

THE AMERICAN TRADITION: RACE, HISTORY, AND AFRICAN AMERICAN WOMEN NOVELISTS

In the U.S., feminist critics have studied a range of genres used by black women writers, including but not limited to the novel, to explore their responses to and interventions in cultural representations of race, gender, and sexuality. Valerie Smith explored the literary connections between the slave narrative and black fiction, arguing that both provided opportunities for narrative self-fashioning. Carby examined the ways in which black women writing in the late nineteenth and early twentieth centuries challenged conceptions of “true womanhood”

based on a white Southern middle-class conception of femininity. Novels by writers such as Alice Walker and Toni Morrison inscribed a powerful cultural memory of slavery. They inspired new readings grounded in African PHILOSOPHICAL and spiritual traditions, as well as readings grounded in European paradigms of psychoanalysis, MEMORY, and trauma theory (see PSYCHOANALYTIC theory). Along with Morrison's *Beloved* (1987), previously unknown works such as Harriet Jacobs's *Incidents in the Life of a Slave Girl* (1861) and Zora Neale Hurston's *Their Eyes Were Watching God* (1938) have become iconic texts in feminist theory and American literature.

Feminist theory has been enormously enriched by debates between black and white feminists and their readings of literature by African American women. Barbara Christian (1988) argued that the "race for [Eurocentric] theory" was turning feminist critics away from reading the literature of people of color. She argued that black writers often theorized in narrative forms, in stories, "in riddles and proverbs, in the play with language" (1988, "The Race for Theory," *Feminist Studies* 14:8). The tension concerning the status of Eurocentric theories in black and white feminist criticism has been productively explored in a groundbreaking anthology on psychoanalysis, race, and feminist theory (E. Abel, B. Christian, and H. Moglen, eds., 1997, *Female Subjects in Black and White*). While black feminist critics have been divided on the usefulness of psychoanalysis for analyzing black female subjectivity, white feminists have studied fiction by black women to explore the issue of race in psychoanalysis. Judith Butler argues that Nella Larsen's 1929 novel, *Passing*, offers a "challenge to psychoanalysis," to the extent that it is "a theorization of desire, displacement, and jealous rage that has significant implications for rewriting psychoanalytic

theory in ways that explicitly come to terms with race" (1997, "Passing, Queering," in *Female Subjects in Black and White*, 279). Hortense Spillers productively brings together psychoanalysis and materialist approaches to explore the significance of the psychoanalytic principle of the Law of the Father, in the context of the "captive body" of slavery (1987, "Mama's Baby, Papa's Maybe," *Diacritics* 17). While black slave fathers have been systemically dispossessed, the "paradox" of the slave mother, both "mother and mother-dispossessed," places her "out of the traditional symbolics of female gender" and challenges us to make space for "this different social subject" (Spillers, 80). Barbara Johnson, trained in the Yale School of deconstruction, stages a tactical engagement between the subjectivist politics of American feminist criticism and the anti-subjectivist approach of deconstruction. Drawing on European theory, she demonstrates the value of a deconstructive reading of the structures of address in Zora Neale Hurston's fiction (1987, *A World of Difference*).

1990s AND BEYOND: FROM THE NATIONAL TO THE TRANSNATIONAL

The 1990s was a decade of consolidation and expansion as feminists continued to engage with poststructuralist approaches and to develop new methods. Feminist critics of MODERNISM explored the interrelations between gender, modernism, and stylistic innovation in the novel. Virginia Woolf, who inscribed gender in the form as well as the content of the novel, has been a key figure for reconsiderations of gender and modernist form. James Joyce has been associated with the French feminist concept of *écriture féminine*. Marianne DeKoven examines these and other figures

in her analysis of the relations between stylistic innovation, political radicalism, and transformations in gender in modernist literature. Eve Kosofsky Sedgwick's important work on homosocial desire in Victorian fiction pioneered the field of queer theory in novel studies (1985, *Between Men*). Building on Sedgwick's analysis, Terry Castle explored the figure of the "apparitional lesbian," who disappeared from view in studies of eighteenth-century fiction and culture (1993, *The Apparitional Lesbian*). Feminist critics continued to explore the significance of affect in cultural production. Through historicized and layered readings of women's middlebrow cultural artifacts, Lauren Berlant analyzes the ways in which sentimental and melodramatic forms such as *Uncle Tom's Cabin* and Fannie Hurst's *Imitation of Life* (1933) enable women to imagine themselves as part of a feminized "intimate public sphere" in the U.S. (2008, *The Female Complaint*).

Until the late 1990s, feminists working in the field of novel studies tended to focus on national traditions. In the new millennium, feminist critics have shown a keen interest in the global institutions of literature, and the circulation of writers and their works across national borders. Inderpal Grewal traces some of the ways that diasporic and transnational novels by Bengali American authors participate in producing "postcolonial cosmopolitanisms" (2005, *Transnational America*, 41). As exemplified in her analysis, the success of feminist theory is precisely the way that it combines with other approaches—cultural studies, cosmopolitanism, postcolonial theory, and world literature—to inform new developments in novel studies. Of course, as Barbara Christian long ago observed, feminist analysis will never be driven solely by academic critics and the concerns of feminist theory. Rather, feminist theory has been and will continue to be fueled and enriched by new novels from

diverse traditions. Novelists will continue to inspire and challenge feminists to develop productive tools of critical analysis and engagement, which are sensitive to local, national and transnational sites of production, consumption and circulation.

BIBLIOGRAPHY

- Armstrong, N. (1987), *Desire and Domestic Fiction*.
 Berlant, L. (2008), *The Female Complaint*.
 Carby, H. (1987), *Reconstructing Womanhood*.
 DeKoven, M. (1991), *Rich and Strange*.
 Gilbert, S.M. and S. Gubar (1979), *Madwoman in the Attic*.
 Johnson, B. (1987), *World of Difference*.
 Hoeveler, D.L. (2003), "Frankenstein, Feminism, and Literary Theory," in *Cambridge Companion to Mary Shelley*, ed. E. Schor.
 Poovey, M. (1988), *Uneven Developments*.
 Showalter, E. (1999), *Literature of their Own*, 2nd ed.
 Smith, V. (1987), *Self-Discovery and Authority in Afro-American Narrative*.
 Spivak, G.C. (1985), "Three Women's Texts and a Critique of Imperialism," *Critical Inquiry* 12: 243–61.
 Tompkins, J. (1985), *Sensational Designs*.

Feuilleton see France (19th Century);
 Serialization

Fiction

EFRÁÍN KRISTAL

In English, *fiction* is a term commonly used to refer to, and even to define, the novel as a literary GENRE (see DEFINITIONS). In its colloquial sense the word *fiction* suggests a contrivance, a belief, or a statement that is false but that is held to be true; a fiction in this sense can be a lie, a deception, or a willful distortion. The supposition that all fictions are lies is predicated on the unfortunate projection of the colloquial meaning of the word onto the practice of storytelling. Fictions can be jokes, thought experiments,

grammatical exercises, and the like. Fictions, therefore, are not necessarily literary, and there are many works of literature that make no claims to fictionality, especially in essayistic and lyrical modes. A *narrative fiction* is a story with imaginary characters and events, and sometimes with imaginary places and objects as well. Not every element in a work of narrative fiction is invented or imagined, but the possibility to tell a story that can draw loosely on facts and freely on the imagination to invent or to embellish, as a perspicacious character in Miguel de Cervantes Saavedra's *Don Quixote* (1605, 1615) observes, allows "the pen to run without obstacles offering a good mind the opportunity to display itself" (chap. 47).

Fictions are often inspired by personal experiences or concerns, HISTORICAL or current events, moral dilemmas, PHILOSOPHICAL ideas, or by other works of fiction. For a literary work to be fictional, it is not necessary to determine which of its elements are fabrications, and which are not. It is enough for the reader to expect that the characters, places, objects, and events may be imaginary rather than real. Fiction affords writers and readers the possibility of distancing themselves from the real, and this allows for difficult or controversial topics to be addressed with some emotional or political cover, although writers are susceptible to condemnation or abuse when their imaginings are found to be offensive, as with Salman Rushdie's *Satanic Verses* (1988). Their freedom to operate outside the constraints of reality can be dramatically curtailed, as when Herman Göring (1893–1946) pressed Hans Fallada to turn the initial draft of a novel set in the Weimar Republic into a work that would salute the rise of the Nazi party.

Fictions can be didactic or serve the aims of propaganda, but they can also be a vehicle of protest, dissent, or oblique criticism that might not be tolerated in some social or political quarters if it were expressed with-

out subterfuges. Fictions can serve as cautionary tales, or as escape valves for some aggressive impulses, as Sigmund Freud and Georges Bataille have intimated, but they can also be taken as incitements to action or to transgression. Fictions can express moral perplexities and ambiguities, and they can sometimes address social taboos that cannot be openly discussed in the public sphere. They can also express a sense of moral, political, or religious certainty. Fictions allow writers and readers to examine norms and to consider possibilities, to explore alternative realities, to escape into worlds of fantasy, to learn about social or cultural milieus, or to ponder the negative or positive consequences of hypothetical actions, events in nature, and technological developments. They allow writers and readers to consider *what if*, *what might have been*, and *what could be* in the destinies of individuals or peoples. Some theorists of fiction ground their views in the notion of make-believe (Kendall Walton and Gregory Currie), others emphasize non-referential narratives (Dorrit Cohn), the creation of possible worlds (Thomas Pavel and Lubomír Doležel), the suspension of disbelief (Peter Lamarque and Stein Haugum Olsen), or the nature of pretense (John Searle and Gérard Genette). There are important insights to be gained from each of these positions, which have resulted from a considerable amount of careful reflection, even if, as David Davies and others have underscored, the recent scholarship on fiction abounds with unresolved polemics and many gray areas.

There is no consensus among theorists of fiction regarding answers to fundamental questions such as the kind of emotional response a reader has when considering the fate of a fictional character, or the manner and extent to which readers supplement the information they gather from their reading in order to engage with a fiction. At the same

time there are some fascinating convergences among theorists who approach fiction from perspectives that are diametrically opposed. For example, Lubomír Doležel has argued vehemently against mimetic theories of fiction because, for him, fictions generate alternative realities as opposed to imitating reality. Jean-Marie Schaeffer, on the other hand, argues that mimesis is at the heart of fiction, because fiction produces simulacra of reality that allow us to come to terms with it in a process that involves both an imitation and a transformation of what is being imitated. Notwithstanding their theoretical differences, Doležel and Schaeffer converge in their assessment of fiction's COGNITIVE dimension. Doležel argues that "in constructing fictional worlds, the poetic imagination works with 'material' drawn from actuality; in the opposite direction, fictional constructs deeply influence our imagining and understanding of reality" (Doležel, x). And Schaeffer argues that fiction has cognitive dimensions with anthropological underpinnings linked to the pleasure humans derive from both play and storytelling (see ANTHROPOLOGY). In both cases fiction is a move away from reality that allows for a return to reality with value added.

Fiction is also a central concept in legal and in searching philosophical discussions that may have little or no bearing on the novel, although there have been attempts by some philosophers to extend their technical observations about nonexistent entities—in discussions about the relation between words and objects—into the literary realm. At times these considerations are well off the mark, because ontological and metaphysical claims about nonexistent entities are marginal to storytelling, a practice that engages the imagination without the constraint of describing anything as it really is. The extent to which an utterance has extension, reference, truth-value, or can be confirmed by other means is central to

many philosophical discussions about "fictional entities" in a restricted technical sense, but the outcome of these discussions does not affect the fictional status of a literary work, which is predicated on the suspension of disbelief, on make-believe, or on a willingness to entertain possibilities and impossibilities.

Peter Lamarque and Stein Haugon Olsen have made the illuminating observation that *how things are* in fiction depends on the utterances of a storyteller or a narrator, but that utterances per se do not determine how things are in the world. For Lamarque and Olsen, therefore, the dependence of fictional modes of presentation on utterances is a criterion that demarcates the fictional from the nonfictional. For Davies a nonfictional narrative attempts to be faithful to a series of events as they actually transpired, but we read narrative fiction with the assumption that the narrative was not governed by that constraint but by the purpose of storytelling. For Kendall Walton the distinction involves the work's function as a prop in games of make-believe: "Any work with the function of serving as a prop in games of make-believe, however minor or peripheral or instrumental this function might be, qualifies as 'fiction'; only what lacks this function entirely will be called non-fiction" (72). Walton's contributions have been widely held as groundbreaking, in as much as he has encouraged a shift from concerns regarding what a fiction might or might not refer to, to concerns about the activity one is engaged in when one engages with a fiction. For Walton, however, any narrative can be read as a fiction, and his critics have pointed out, as Davies has noted, that Walton does not offer a persuasive criterion to distinguish between "a narrative which *is* fictional and a narrative which a community of readers *treats as or believes to be fictional*" (2007, 36; original emphasis). This criticism would

not apply to the insights of Currie, another major scholar who has explored the significance of make-believe for fiction. Currie focuses on the creator of a work of fiction and on the efforts required to make an audience pretend or to enter into make-believe, whereas Walton is interested in works of fiction as props in the process whereby readers can engage in practices of make-believe. For Currie fiction is a communicative act with a certain kind of intention: “the intention that the audience shall make believe the content of the story that is told” (1990, 24). For Walton the intention of the writer makes no difference in make-believe. Currie focuses on the creative process and Walton focuses on the experience of the practitioner in the game of make-believe. For Currie fiction depends on the intentions of its maker whereas for Walton it depends on an experience supported by a prop such as a narrative.

ON FICTION AND THE NONFICTIONAL

One of the main prerogatives of fiction is to pretend that its inventions are true to life, and writers of fiction can also draw on the RHETORIC or on the objects of any discipline. In *The Republic* Plato (ca. 470–399 BCE) famously objected to the ease with which poets can write about matters beyond their competence, and his admonition has weighed heavily on many writers and theorists, but the poet does not need to have competence in any domain to make imaginative claims about its desirability or to challenge its purposes. Self-reflexive works of fiction can also call attention to their fictional status (see METAFICTION). The conceit of Joseph Conrad’s narrator in *Under Western Eyes* (1911), that because he lacks imagination his narrative will be as objective as one can possibly expect, is as possible in a work of

fiction as the conceit in Mario Vargas Llosa’s *Historia de Mayta* (1984, *The Real Life of Alejandro Mayta*), in which the narrator warns his audience that everything he writes ought to be taken with a grain of salt because his investigations about true events were supplemented by the distortions of his imagination.

Fictions can strive for coherence, but they can also embrace indeterminacy, paradox, contradiction, and impossibility, including the conceit that a human being can enter into a fictional realm, as in a narrative by Julio Cortázar in which the reader of a criminal novel can become the victim of the crime of the novel he is reading. Fictions can borrow from the conventions of any nonfictional genre; they can rely on the subtlest of interpretative ambiguities within the narrative, as in the later novels of Henry James. Fictions inspired by Franz Kafka and Jorge Luis Borges can be designed to resist interpretation by means of false starts, ellipses, impossibilities, and logical contradictions. Narrative fiction makes it possible to entertain possible experiences, and possible worlds, as Pavel and Doležel have argued with elegance and deep knowledge of literary works, nuancing the views of philosophers, such as David Lewis and Alexis Meinong, who have worked on the complexities of possible world semantics.

Fiction is a central concept to any comprehensive theory of the novel, even though it is possible to argue that, for some exceptional cases, at least in theory, a novel does not necessarily have to be fictional, as Truman Capote claimed was the case for *In Cold Blood* (1965). As a novelist Capote purports to have been as faithful to the events of a murder as the *New York Times* article that brought the case to his attention or as the subsequent information he gathered about the events from his research (see JOURNALISM). Capote’s self-conscious experiment is an invitation to consider that most novels draw on a considerable

number of elements that are nonfictional, like the late nineteenth-century London of Sherlock Holmes (an example, which has become commonplace in discussions about the combination of real and invented elements in a fictional work). There are also sections of novels, as in the case of José María Arguedas's *Los ríos profundos* (1958, *Deep Rivers*), in which nonfictional materials, such as published anthropological papers, can find themselves integrated seamlessly into the fiber of a narrative. Some would contend that even if a writer were successful in creating a novel based on nonfictional sources, the distortions of fiction would necessarily set in, not only because any narrative, in principle, can be read as a fiction, but also because the difference between fiction and nonfiction can be blurred in both fictional and nonfictional works. The views of Richard Rorty, Jacques Derrida, Barbara Cassin, and some influential postmodernist theorists go in this direction, which also resonates with the views of some prominent novelists. In his essays Javier Marías has argued that it is difficult to uncouple fiction from narrative because storytelling of any kind can be fraught with either deliberate or unintentional distortion. Marías's novel *Negra espalda del tiempo* (1998, *Dark Back of Time*) opens with a bolder statement to that effect: "Anyone can relate an anecdote about something that happened, and the simple fact of saying it already distorts and twists it, language can't reproduce events and shouldn't attempt to" (trans. Esther Allen, 7). In Marías's novel the claim is pregnant with the kind of ambiguity and irony that has informed the self-reflexive novel from Cervantes to David Foster Wallace.

Don Quixote (1605, 1610) is the most famous work of fiction about the perils that may arise when a reader reads a fictional work as if it were a work of nonfiction. It is arguably also the richest meditation on fiction in the Early Modern period. At the

beginning of the novel *Don Quixote* takes novels of chivalry to be historical documents; but as the novel unfolds, the don corrects his initial assumptions with a clever interpretation of Aristotle, according to which events in a literary work can present idealized versions of historical characters. Toward the end of pt. 2, *Don Quixote* begins to equivocate: "Could they be lies and at the same time bear such appearance of truth?" (chap. 50). As his vision becomes more nuanced, *Don Quixote* recognizes the ornamental conceits of fiction and even its elements of make-believe, yet he insists that "nothing, in fact, more truly portrays us as we are and as we would be" (pt. 2, chap. 12), a view that has been echoed by many practitioners of the novel until our day. *Don Quixote*'s views are continually mocked in the novel by characters, most notably religious men, who deride narrative fiction in harsh assessments: "they are all fictions, invented by the idle brains who composed them, as you said now, to pass the time as your reapers do in reading them" (chap. 32). Echoing Plato's admonitions against the desirability of poets in his Republic, some characters in the novel make the reluctant concession that fiction can enchant and give pleasure, but at too high a cost: "they give me a certain pleasure as long as I do not begin to reflect that they are all lies and foolishness" (chap. 49). The best argument brought to bear in favor of literature by *Don Quixote*'s critics is the idea that, in some cases, the lies of fiction can convey a hidden truth: "even though that is a poetic fiction, it contains a hidden moral you should observe and follow" (chap. 32).

FICTION AS PRETENSE OR AS A SOCIAL CONTRACT

In a less reluctant key, the moralistic views of *Don Quixote*'s critics in Cervantes's novel echo the contemporary view of Nelson

Goodman, for whom a fiction can be a literal falsehood with a metaphorical truth. Another influential view along these lines is John Searle's contention that fiction can convey important messages, even though it is based on pretense. In a seminal article Searle argues that fiction involves pretending to assert or pretending to perform certain kinds of *SPEECH ACTS*). If illocutionary acts, such as asserting, promising, and commanding, are speech acts that involve commitments and obligations, fiction is engaged in a performance, as if the illocutionary acts were actually being performed. For Genette, Searle is fundamentally right, but his theory needs to be supplemented by a positive view that would justify the pretense, above and beyond the transmission of a message, which could have been easily conveyed by nonfictional means. Genette argues that the pretense Searle brings to bear at the level of the pragmatics of language is, in a work of fiction, an invitation by an author for an imaginative cooperation with the reader that involves the suspension of disbelief and make-believe. For Genette the pretense of fiction suggests a non-serious effect in real contexts, but it generates other kinds of effects in the context of the work of literature. For Schaeffer, Genette has captured the essence of fiction, which amounts to the passage from a real context to a fictional context.

Searle's article is a touchstone for recent discussions in French literary theory about fiction, but it has been vigorously rejected by the most important theorists of fiction as make-believe, for whom "the notion of fiction is not parasitic on that of 'serious' discourse," because fiction ought to be understood as that which supports and underwrites games of make-believe (Walton, 85). For Walton, fiction is a pragmatic rather than a semantic phenomenon, and he makes the incisive point that fiction is not a linguistic phenomenon (see *LINGUISTICS*). He makes several persuasive arguments in favor of this

point of view: (1) the same sequence of words can constitute a biography, a historical work, or a novel; and (2) fictions are not fundamentally linguistic because they can also occur in nonlinguistic media, such as the visual arts. In *Truth, Fiction and Literature*, Lamarque and Olsen make the even stronger claim that fiction is a social rather than a linguistic phenomenon, even if the medium of a fiction can certainly be linguistic. Fiction, for Lamarque and Olsen, is not a relation between words and objects (it is not a semantic relationship) but a relation between human beings who willingly engage in a practice that involves make-believe and suspension of disbelief. According to Lamarque and Olsen, "the fictive dimension of stories (or narratives) is explicable only in terms of a rule-governed practice, central to which are a certain mode of utterance (fictive utterance) and a certain complex of attitudes (the fictive stance)" (32). Fictive utterances are possible by the existence of a social practice, which involves making up stories, telling stories, repeating stories, and talking about stories. Fiction depends on cooperation, on mutually recognized conventions, on collaboration involving established practices and rules. In a fictive utterance the audience makes believe what it is being told; there is mutual knowledge that this is going on; and a disengagement from drawing inferences from what you are being told to what the writer or narrator actually believes, which is what Lamarque and Olsen mean by the "fictive stance."

Fiction is a social contract of sorts: "The central focus is not on the structural or semantic properties of sentences, but on the conditions under which they are uttered, the attitudes they invoke, and the role that they play in social interactions" (Lamarque and Olsen, 32). Davies has summarized their insight: "there must be publicly recognized conventions that allow for the suspension of certain standard commitments involved in

assertion, so that an author can invoke these conventions, and an audience, recognizing this, can respond appropriately by making believe, rather than believing, the narrated propositions (2005, 349). When the conventions are not accepted or understood, the work of fiction is taken as fact, as is the case for Don Quixote at the beginning of the novel, when he takes novels of chivalry to be historically accurate, or in Montesquieu's *Lettres Persanes* (1721, *Persian Letters*), where a character takes a play to be a real event because he does not know the conventions of theater. Lamarque and Olsen's view of fiction as a social contract that presupposes the awareness of both the author and the audience of the work is borne out by the sense of outrage or of deep disappointment that some readers feel when a work of fiction is presented to them as if it were nonfictional, or the unease generated by works of nonfiction which appear to have fictional embellishments.

FICTION AND THE EMOTIONS

Lamarque and Olsen make a helpful distinction when pointing out that, from an internal point of view one speaks of characters as human beings, but from an external point of view one speaks of characters in terms of the rhetorical means that allows for their depiction. Their useful perspective is analogous to Richard Wollheim's view that for any artistic practice it is worth considering both the medium of the work of art (which would be analogous to the external perspective) and its artistic qualities or effects (which would be analogous to the internal perspective) and to realize that the ability to represent characters or to express emotions in literature is contingent on the ability to master a medium. Fictional characters in a novel are not human beings, but the notion that

a character in a work of fiction does not have any relevant connections to human beings because literary characters are made of words conflates the internal and the external perspective: fictional characters are made up of words in a novel because words are the medium of narrative fiction, but this does not mean that those words cannot be used to describe characters with human qualities worth considering, even if those characters are inventions.

One of the central questions that has concerned theorists of fiction is why readers of novels experience emotions regarding characters who they know are not human beings of flesh and blood (see CHARACTER). There is a rich bibliography (see Lamarque, 2009) of scholars who have pointed out a series of fascinating paradoxes associated with the following three propositions: (1) readers can experience emotions toward fictional characters; (2) a necessary condition for experiencing emotions is the belief in the existence of the objects of the emotions; (3) readers know that fictional characters do not exist. Accepting the three propositions can lead to any number of quandaries or to the equivocal intimations that our affective responses to a work of fiction are not real, or that we are actually experiencing make-believe emotions when we think we are responding emotionally to a work of fiction. The "fiction paradoxes" might be to the emotions what Zeno's paradoxes are to movement, if one takes into consideration that one's affective world (including one's feelings of empathy, pity, or contempt for others) does not turn off when one considers possibilities and hypothetical eventualities. There is certainly a difference between the emotions one might feel when one has failed or succeeded in a task and the emotions one might feel when one is pondering the possibility that one might fail or succeed in a task. It is possible to have feelings about fictional characters in the same way one can have

feelings about eventualities and hypothetical situations one might envisage for oneself or for others.

The philosopher Jacques Bouveresse has argued that to give up—as some literary theorists would recommend—the supposition that fictional characters are subject to moral experiences, conflicts, and dilemmas, is to renounce what is most significant in the experience of narrative fiction. Fiction allows us to consider situations that do not depend on the fact that they have taken place, which is why Martha Nussbaum argues that our experience and our moral imagination would be poorer if they depended solely on our reality. For Iris Murdoch it is instructive to examine the language that the practitioners of any discipline use to criticize their objects. The shortcomings of a work of fiction can be formal, but the most impassioned criticism of a novel tends to involve the sense that it does not ring true or the sense that its imaginative world is not persuasive. Works of narrative fiction are dismissed for being “sentimental,” “trivial,” “pretentious,” “inauthentic,” or “superficial,” among other qualifiers of this kind by readers who know they are dealing with invented characters and situations; and readers are more tolerant of (or indifferent to) the formal shortcomings of a novel when they feel that it has expanded their horizons. What reader of Marcel Proust’s *À la Recherche du temps perdu* (1913–27, *In Remembrance of Things Past*) would consider it a fatal error that the celebrated autobiographical narrator suddenly shifts to the third person to narrate the life of Swann, which precedes his own birth? What Proust can teach us about the human experience of someone unable to understand certain aspects of his own life without the intervention of involuntary MEMORY is, for most readers of Proust, so significant that his formal inconsistencies (not intended as literary devices) are inconsequential in comparison.

In his brilliant analysis of the connection between fiction and the emotions, Schaeffer accepts the first and the third proposition of the premises that lead to the “fiction paradox,” but rejects the second, if the second assumes that we can only feel true empathy for people of flesh and blood. Schaeffer argues that the passage from a real context into a fictional context permits the reorganization of affect. In the fictional realm it is possible to explore and experience emotions with a distance that allows for a reorientation of the reader’s emotional world. In the fictional realm it is also possible to explore what we think and what we know about the world at a remove that may relieve us from the pressures and risks of our actual engagements with others and with other contingencies in our lives: “fiction offers us the possibility to continue to enrich, remodel, readapt the cognitive and affective base thanks to which we have access to a personal identity and to our being in the world.” Fiction, for Schaeffer, is not a diversion from the real world. It is “a place where our relationship to the world can be renegotiated, repaired, readapted and re-equilibrated in our minds” (327).

SEE ALSO: Censorship, Historical Novel, Life Writing, Philosophical Novel, Realism, Science Fiction, Time.

BIBLIOGRAPHY

- Bouveresse, J. (2008), *Connaissance de l'écrivain*.
 Cohn, D. (1999), *Distinction of Fiction*.
 Currie, G. (1990), *Nature of Fiction*.
 Currie, G. (2008), “The Concept of Fiction,” in *Contemporary Readings in the Philosophy of Literature*, ed. D. Davies and C. Matheson.
 Davies, D. (2005), “Fiction,” in *Routledge Companion to Aesthetics*, 2nd ed., ed. B. Gaut and D.M. Lopes.
 Davies, D. (2007), *Aesthetics and Literature*.

- Doležel, L. (1998), *Heterocosmica. Fiction and Possible Worlds*.
- Genette, G. (1993), *Fiction and Diction*.
- Lamarque, P. (2009), *Philosophy of Literature*.
- Lamarque, P. and S.H. Olsen (1994), *Truth, Fiction and Literature*.
- Nussbaum, M. (1990), *Love's Knowledge*.
- Pavell, T. (1986), *Fictional Worlds*.
- Schaeffer, J.-M. (1999), *Pourquoi la Fiction?*
- Searle, J. (1975), "The Logical Status of Fictional Discourse," *New Literary History* 6:319–32.
- Walton, K. (1990), *Mimesis as Make-Believe*.

Figural Narrator *see* Narrator

Figurative Language and Cognition

YANNA POPOVA

The distinction between literal and figurative (nonliteral) language reflects a traditional understanding in LINGUISTICS and RHETORIC of what constitutes the nature of meaning in language. Thus, it is commonly assumed that the literal meanings of words or sentences are somehow fixed, direct, and do not deviate from their respective dictionary meanings. Figurative meanings, on the other hand, involve indirectness and require further interpretation. There are several forms of figurative language (also known as figures of speech) such as metaphor, metonymy, simile, irony, idiom, and proverb. Some scholars include also oxymoron, hyperbole, and zeugma, among others. While providing a brief description of each major form of figurative language, this entry concentrates on theories and psychological data on metaphor as a main exemplar of the general human ability to speak and think figuratively. It summarizes the vast number of theoretical and experimental approaches to this most creative and intriguing human ability, namely the faculty to think and speak figuratively. In the rest of this entry,

unless specifically stated otherwise, metaphor, figurality, and figurative language and meaning are used interchangeably.

The use of figurative language comes naturally and effortlessly to every person engaged in human verbal and nonverbal interaction. We make ample use of metaphor ("He is a lion in battle") and metonymy ("The kidney from floor one is calling") in everyday speech. We regularly tell stories that contain proverbs ("A wonder lasts but nine days") and idioms ("She went through the roof when he told her the truth"), and often make a point with a remark that is ironic ("What lovely weather," said on a rainy day) or hyperbolic ("I've been waiting an eternity"). Rather than being a special trait restricted to poetic usage, figurality is now believed to be a part and parcel of our everyday thought and expression. This new and changing status of figurative language has in turn transformed the way it has been traditionally studied and described. While historically the domain of linguists, rhetoricians, and philosophers, more recently the study of figurative language in general, and of metaphor in particular, has become a hot topic in the study of human cognition (see COGNITIVE).

TYPES OF FIGURATIVE LANGUAGE: SCHEMES AND TROPES

The major forms of figurative language include metaphor, metonymy, simile, idiom, proverb, irony, oxymoron, and zeugma. There also exists a long list of figures of speech which classical Western rhetoric divides into schemes and tropes (Lausberg). Schemes are generally defined as those figures of speech that produce changes in the ordinary or expected form of words or word phrases. Alliteration (series of words in a phrase or sentence that begin with the same sound, as in "good as gold," or "right

as rain”) and anaphora (the repetition of a sequence of words at the beginning of neighboring clauses) are but two examples of schemes. Tropes, on the other hand, are defined as those figures of speech that produce a change not in the shape but in the meaning of words. All the figures listed above that are also the subject of the present discussion, such as metaphor, metonymy, simile, idiom, proverb, irony, oxymoron and zeugma, are therefore tropes.

Metaphor is based on a nonliteral analogical relation between two entities (words or concepts) that serves to highlight some similarity between them. The word itself has Greek and Latin origins and means “transfer” or “carrying over” of meaning. Metaphor is particularly abundant in literary and poetic discourse (“Life is a broken-winged bird that cannot fly,” “All the world’s a stage”), but is also widely present in everyday language (“smooth voice,” “break the silence”). The novel as a GENRE provides exceptionally fertile ground for exploring the important thematic role that metaphor often plays in it and which is most commonly revealed in the very title of a text. For example, John Fowles’s *The Collector* (1963) is a chilling narrative about a young man who “collects” both beautiful butterflies and young girls, and his distorted way of viewing women as butterflies leads to a disastrous outcome. *Wuthering Heights* (1847) and *Heart of Darkness* (1902) are but two other titles of novels where the anguished mental states of the main protagonists are thematized in terms of a real natural environment or an actual physical journey. *Metonymy* involves understanding one thing in terms of something else that is closely associated (contiguous) with it, such as an artist for his work (“a Monet”), a place for an institution (“Rome” for the headquarters of the Catholic Church), and so on. A *simile* compares two entities by explicitly asserting that they are similar in some

respect. In some similes the ground for comparison is made explicit and conventionalized: “She is as cunning as a fox”; and in others, it is only implicit and implied: “Fortune is like glass.” It is generally accepted that metaphors and similes perform similar functions but metaphors are assumed to be stronger statements than similes. *Idiom* is defined as an expression (word or phrase) whose meaning is noncompositional. The meanings of the individual words that make up an idiomatic expression do not motivate the figurative meaning of that expression. The words in an idiom only have meaning together as a unit and cannot be predicted from the analysis of the individual components: e.g., “die” for both “Kick the bucket” and “Pop one’s clogs.” A *proverb* is a succinct and concrete statement that is understood to express important social or moral truth (“A burden of one’s own choice is not felt”). In some sense proverbs can be seen as verbal puzzles requiring reasoning and problem-solving skills to be applied to a specific communicative context, while at the same time being applicable to a vast number of contexts. *Irony* is an expression where there is an incongruity between its meaning as expressed and as intended. Verbal irony (most commonly understood to be intentionally produced) relies on a distinction between reality (what is said) and expectation (what is meant). Situational irony describes events in the world where the result of an action is judged to be the opposite of its expected effect. Ironic simile, for example, is a clear instance of verbal irony—the intended meaning is the opposite of what is said: e.g., “as pleasant and relaxed as a coiled rattlesnake” (Kurt Vonnegut). An *oxymoron* is a figure of speech consisting of two elements whose meanings are contradictory or antonymous to each other: “cold fire,” “sweet sorrow,” “living death.” Oxymora are not restricted to literary language and can be found in

everyday speech, where they can be so common that they barely get recognized as such: “pretty ugly,” “intense indifference.” As can be seen from these examples, both irony and oxymora reflect our ability to think of a situation in conflicting, incongruous terms. This has led some researchers to consider the oxymoron as a form of irony (Gibbs, 1994). Finally, a *zeugma* is a figure of speech in which a word stands in the same relation to two other words, one of which is used literally, and the other metaphorically. Most commonly a verb modifies two nouns, as in: “She picked up a house and a husband,” “The earth and his heart moved”).

LITERAL VS. FIGURATIVE: THREE APPROACHES

The central question in research on figurative language has always been how to differentiate what is literal from what is not. An older view in semantics (Cohen) assumes that meaning in language is created on the basis of an established relationship between symbols (words) and things in the world. If a particular phrase or sentence describes a true and objective state of affairs, then that statement is judged to be meaningful. Meanings are also understood as compositional in that words are composed of abstract semantic features, and the compositionality of sentences becomes a matter of compatibility of the semantic features of the component words. “Sally is a block of ice” thus turns out to be semantically anomalous: it is both literally false (not representing a real state of affairs in the world) and literally meaningless (combining incompatible semantic features). This alerts us to the possibility that the sentence can be seen as meaningful only when interpreted figuratively (i.e., as a metaphor) by searching and finding some compatibility between the semantic features of its component words.

The semantic approach to figurative language therefore accounts for figuration by assuming it inheres in the meanings of the words or phrases themselves and is thus independent of contextual effects such as inference, intention, world knowledge, and other extra-linguistic factors.

The pragmatic approach to figurative language (Searle) understands figuration not as a matter of what words and sentences mean but as a matter of how they are used in particular situations. Pragmatic approaches assume and openly recognize that meaning and understanding both involve intentionality. For a word or sentence to be understood as figurative, the speaker’s communicative intention has to be recognized by the addressee. On this view, then, figurative language requires and presupposes a clear distinction between direct (explicit) meaning and indirect (implicit) meaning or use. The question of identifying literal versus figurative meanings becomes a matter of recognizing what the intended (implicit) meaning is, which can be at times problematic. A later development in pragmatic theories of figurative language, relevance theory (Sperber and Wilson), tries to solve the problem of how to ascertain intended meaning by postulating the principle of relevance: every act of communication is assumed to be maximally relevant, and the degree of relevance is dependent on two factors—context and processing effort. The optimally relevant interpretation of any phrase or sentence, be it literal or figurative, will be the one least costly in terms of processing effort and the one most extensive in its contextual impact. Both semantic and pragmatic theories rely strongly on an intrinsic distinction between literal and figurative language. The pragmatic view does not discard the notion of literal meaning but builds on its assumed primacy for its own two-stage theory of figurative–language understanding.

The conceptual (cognitive) approach in the study of figurative language proposes a radically different understanding of figuration not as a matter of language but as a matter of categorization and human thought processes (see COGNITIVE). This view has been formulated in a number of different ways by various researchers, and despite its most recent and prominent association with cognitive linguistics, it has a long history predating it. John Locke (1632–1704), Giambattista Vico (1668–1744), Immanuel Kant (1724–1804), and Johann Gottfried von Herder (1744–1803) are all thinkers who in their distinct ways acknowledged that neither human thought nor language are inherently literal and granted imagination a key role to play in both. A different, although related view, and perhaps one most familiar to students of literature, is the famous dictum by the linguist Roman Jakobson that the metaphoric and the metonymic poles are the two basic modes of thought reflected in all language and human behavior. Jakobson (1956) suggested that not just language but also various forms of nonverbal communication such as painting and film oscillate between a principle of substitution based on similarity (i.e., the metaphoric principle), and a principle of combination based on contiguity (i.e., the metonymic principle). Subsequent research within cognitive linguistics (see below) has tried to readdress the basic conceptual distinction between metaphor and metonymy within the context of current debates about their intricate patterns of interaction in actual language use. In essence, the present conceptual view places the source of figuration in human mental abilities that are essentially independent of language, though most commonly expressible through it. Of the three approaches identified above, the conceptual view is currently the most influential in its scope. Due to its success in explaining data on psychological processing

of figurative language, as well as accounting for the systematicity and entrenchment of figurative language and thought, it will be singled out for further discussion in the next section.

THE NEED FOR COGNITIVE EXPLANATION

The main impetus to study figurality (especially metaphor) as a conceptual process, rather than as a primarily linguistic phenomenon came from two seminal books written three decades ago: *Metaphor and Thought* (Ortony) and *Metaphors We Live By* (Lakoff and Johnson). Their influence is still palpable today and continues to shape much current work in this area. Although concerned principally with metaphor, these two publications were instrumental in changing how figuration is understood in general. Philosopher Max Black proposed that metaphor is essentially a mapping between two conceptual domains, one of which is primary (the target) and the other secondary (the source). Metaphor works by “‘projecting upon’ the primary subject a set of ‘associated implications’ . . . that are predicable of the secondary subject” (28). Importantly, this account is cognitive because it understands metaphor as an instrument of thought that allows us to perceive analogies of structure between conceptually distinct entities. As one of Black’s examples illustrates, in Pascal’s *roseau pensant* (man as a “thinking reed”), it is the frailty and weakness of reed that gets projected onto human nature.

CONCEPTUAL METAPHOR THEORY

The “Conceptual Metaphor Theory” (CMT), as it is widely known today, was first formulated by Lakoff and Johnson in 1980. Like Black’s, its basic premise is that metaphor is a cross-domain mapping in the

conceptual system. Any metaphoric expression is then viewed as a surface (derivative) realization of an underlying conceptual metaphor. The theory's most radical claim concerns the ubiquity of metaphor in everyday language and thought. All traditional approaches accept the fact that figurative language is by definition novel, creative, imaginative, and distinctive. Lakoff and Johnson propose instead that, rather than being the exception, metaphor, metonymy, irony, and other kinds of figurative language are the basic means of structuring ordinary thought. Clearly, the language of great thinkers and poets is more creative and imaginative than that of ordinary speakers, but all language reflects the same cognitive processes of figuration. CMT thus claims that much of our commonplace knowledge and experience is structured in terms of conceptual metaphors. "Life is a journey" ("He has reached the end of his path," "Look how far we've come"), for example, informs our everyday understanding of life in terms of a physical journey so that we map onto the domain of life what we know about journeys. These mappings are partial but detailed and systematic: they involve conceptual correspondences between elements, relations, and attributes in the source domain, and their projected counterparts in the target domain.

There are two critical implications of Lakoff and Johnson's CMT for how we understand figurative language. The first is that the notion of the literal has shrunk significantly, and *literal* now defines only those concepts that are not understood via conceptual metaphor. Examples would include statements such as "The blue balloon is rising" or "She wore a green dress." This open acknowledgment of the ubiquity of metaphor in language may be interpreted by some as bearing certain similarity to particular poststructuralist notions of the endemic "undecidability" of meaning, as

proposed in the work of Paul de Man and Jacques Derrida (see STRUCTURALISM). The point to be made here, however, is that, contrary to the poststructuralist notion of the indeterminacy of all meaning, CMT argues that the construal of meaning in language is regulated and constrained by inherent properties of the mind, as well as intention, context, and patterns of organized experience. The second implication of CMT concerns the issue of the directionality of mapping in figurative thought. The theory of conceptual metaphor, as developed by Lakoff and Johnson (1980, 1999), assumes that metaphor is a cognitive operation whereby abstract domains of experience are conceptualized in terms of what is physical and concrete. What this means is that conceptual metaphors are unidirectional and irreversible: the inferential structure that gets mapped is invariably from what is conceptually more accessible (i.e., more concrete or more salient) to what is less so, and not the other way round. There exists a great amount of detailed work in many areas of study that substantiates the claim of directionality. For example, it has been suggested that in many languages figurative expressions tend, in accordance with this principle, to become conventionalized (also called "frozen" or "dead," as in "The river runs toward the village") (Sweetser). It has also been argued that the principle of directionality of mapping largely determines regularities in patterns of polysemy and diachronic semantic change across a large number of Indo-European languages (Sweetser). Finally, in several psycholinguistic experiments it has been shown that figurative expressions consistent with the directionality principle are consistently judged to be simpler, more natural, and easier to comprehend and recall by native speakers of a language (Shen, 1997).

In addition to being a cognitive and linguistic fact, the directionality of mapping

detected in conceptual metaphors and other forms of figurative language is a direct consequence of the importance given in CMT to embodiment as a factor grounding metaphoric meanings. As opposed to more traditional semantic theories described above, CMT assumes meaning in language and thought to be the result of how human minds conceptualize the world and not the result of some prior abstract relationship between language and reality. Our conceptual and linguistic system and their respective categories are created and constrained by the ways in which human minds perceive, categorize, and symbolize experience. Conceptual and linguistic categories are therefore ultimately grounded in experience: bodily, physical, social, and cultural. Every mental construct of the mind, be it literal or figurative, is a reflection of how the mind adapts to the world it inhabits and not a reflection of some abstract, true, and mind-independent world.

BLENDING THEORY

A most recent development in conceptual metaphor theory is the so-called “blending theory” or “conceptual integration theory” (Fauconnier and Turner). As described above, CMT offers a model of metaphor understanding that includes two conceptual domains and a structured mapping from source (secondary domain) to target (primary domain). Blending theory proposes a model where the two-space model of CMT is replaced by a multi-space model of at least four spaces. In blending, cognitive operations of meaning construction are seen to work in the following way. When two concepts or conceptual domains (input spaces) are being compared, a common structure (“a generic space”) is extracted, which in turn makes possible the creation of a fourth space (“the blend”) that contains new emergent properties resulting

from the mapping in context. Thus, in “This surgeon is a butcher,” a property (incompetence) is being evoked in relation to the metaphoric target (the surgeon), and that property is not typically one associated with the metaphoric source (a butcher). The inference that the surgeon is incompetent is seen not to project directly from source to target but to “emerge” in the process of blending itself, defined as a complex online set of mappings from source to target, as well as between both of them and the generic and blended spaces. As opposed to CMT, which relies on well-entrenched examples and is thus able to generalize across a wide range of cases, blending theory tries to capture the complexity and unpredictability of individual and novel metaphoric instances. It is proposed that blending processes operate in creative constructions of meaning that are not restricted to metaphor but include counterfactuals and various grammatical constructions. While assumed by its proponents to be superior to CMT due to its alleged status as a theory of online meaning construction, blending theory has received some criticism. The main line of critique comes from psychologists and concerns exactly the question of whether the single case interpretations based on introspection and provided by blending theorists are sufficient to make generalizations about how people think in different situations (Gibbs, 2000; see also Steen).

EMPIRICAL STUDY OF FIGURATIVE LANGUAGE

As mentioned above, traditional views on figurative language assume and grant primacy to literal meaning. This in turn entails that on these accounts interpretation of figurative expressions is seen to be always dependent on the literal meaning that gets to be

processed first. But if the cognitive view is correct, as it is increasingly believed to be, figurative language processing should be no different from ordinary (literal) language processing. Various psycholinguistic experiments have been devised to test exactly whether or not there is a processing advantage for literal meanings. These experimental tasks are usually reaction-time studies that involve recording the amounts of time necessary for participants to read and interpret figurative vs. literal utterances. The conclusion of these kinds of experimental studies on metaphor, irony, idiomatic expressions, and proverbs, most prominently associated with the work of R. W. Gibbs (1994) and his colleagues, is that from the earliest moments of processing, figurative language comprehension is no different in kind from understanding literal language. Experimental evidence thus strongly indicates that figurative language comprehension is not a special, more complex type of mental processing: figurative language is readily understandable and just as easy to process as literary language, given an appropriate context. One concrete example is the psycholinguistic study of idiomaticity. Experimental work in this area has demonstrated that rather than having an arbitrary meaning, not accessed and not predictable from an analysis of their component parts, idioms like “flip your lid” or “blow your stack” are specific instantiations of conceptual metaphors (Gibbs and O’Brian). Thus, comprehension of a particular idiom presupposes a preexisting metaphorical mapping (i.e., conceptual metaphor) in long-term memory. Other related studies have found significant and consistent similarities in the mental images created by participants in response to some idioms and proverbs. Explanation for these consistencies is provided by specific embodied knowledge, shared among human beings, that helps structure human metaphorical understanding of various concepts.

The kind of experimental work performed by Gibbs and his colleagues has elucidated three important points, all of which lend support to the cognitive view of figurality. First, experimental data has shown that similar cognitive mechanisms drive the understanding of both literal and figurative speech. In some instances (as in novel metaphors) additional processing may be needed, but the vast majority of figurative language is understood as effortlessly, quickly, and automatically as is literal language. Second, it has revealed that figurality is not something that simply happens in and through language but is something that the mind does in its processes of categorization, inference, and reasoning about experience. Third, it has made clear that the conceptual contents of the human mind are not arbitrary but reflect a largely constrained, through embodiment, set of conceptual mappings. With the very notion of “embodiment,” which links bodily experience with the actual content of what people know and understand, both the theories and the experimental data supporting them are able to account for the systematicity and order of figurative language and thought.

FIGURATIVE LANGUAGE AND THE STUDY OF LITERATURE

Perhaps the most interesting question in the study of figurality is to ask why it exists in the first place. One way to address this question is to say that it is able to express qualities and aspects of experience that cannot be otherwise conveyed. Figurative language is judged to be both more evocative and rich (due to the plurality of meanings that are created), and more equivocal (novel and imaginative). Nowhere is this more obvious than in the language of poetry and prose. That is perhaps why poetic language has always been studied as the best source of

figurative language examples. Yet, despite its creativity and originality, poetic language, has also been found to conform to strict cognitive constraints. When examined across languages, historical periods, and literary genres, poetic language remains highly constrained with respect to permissible structures. Shen (1997, 2007), for example, has shown that novel instances of metaphor, simile, oxymoron, and zeugma all favor a cognitively simpler transfer of meaning. Thus, “sweet silence” (metaphor), “emptiness is like a weight” (simile), “sweet sorrow” (oxymoron), and “I packed my shirt and my sadness” (zeugma) are all examples where a more accessible and salient concept has been mapped onto a less salient one. Reversing the order of mapping, as in “weight is like emptiness” or “I packed my sadness and my shirt,” would produce expressions that are both highly incomprehensible (as is the case with the metaphor) and cognitively more complex. The creativity of figurative language in literary discourse should therefore be seen as more constrained than traditional literary criticism and theory have taken it to be.

The cognitive approach to figurative language understanding has already produced some valuable work when applied to the study of poetry, fiction, and drama, as well as newer multimedia forms such as advertising and film. The realization that figurative language plays a major role in human cognition makes literary texts ideal (because authentic) and legitimate sources of data for psychological models of language structure and use. Equally, cognitive research on figurative language offers new perspectives on literary production, interpretation, and reception. Thus, cognitive poetics, a rapidly expanding field at the interface of literary studies, linguistics, and cognitive science has generated a range of innovative accounts of diverse literary phenomena (for a representative sample of these approaches, see the

collection edited by Semino and Culpeper). The rise of cognitive metaphor theory, for example, has led to a major reassessment of the role of metaphor in literary and nonliterary language. While psychologists and linguists studying metaphor in language highlight the general metaphoric patterns within or across particular languages, literary scholars tend to emphasize the specific metaphoric patterns within particular genres, texts, or novelists. Studying conventional metaphor patterns in a novel has been shown, for example, to contribute to the creation of sustained ambiguity, or to the projection of an individual “mind-style” to characters in stories (see LINGUISTICS). Metaphoric patterns have also been shown to play a significant structuring role in narratives as a mode of narration or plot organization (see NARRATIVE STRUCTURE). Other figures of speech studied within cognitive poetics include irony and metonymy. Finally, most recent work on multimodal metaphor provides exciting evidence for the existence and interaction of metaphor and metonymy in visual images, cartoons, gestures, film, and music (Forceville and Urios-Aparisi).

CONCLUSION

All that has been said so far should emphasize the fact that a description of figurative language in the essentialist terms of traditional approaches is not adequate. Figurality is best understood as a continuum from more to less entrenched and conventionalized patterns of thought. Nor is it plausible to equate figurative language in any simple sense exclusively with the language of literature. Conceptually, the distinction between literal and figurative language is not well marked out, as both require rich contextual information for interpretation. Procedurally, the comprehension of nonliteral language is not dependant on a more procedurally basic

comprehension of literal language. Yet, in arguing against the principled distinction between literal and figurative language, and against the primacy of the former, I have repeatedly referred to the notions of literal and figurative meaning. This should not be taken as a contradiction. The distinction between literal and figurative is still useful when recognized as context-dependent and functional, rather than absolute. It simply indicates a difference in the manner of use: often what is classified as a figurative expression is more automatic and salient than a literal one. Figurative language, as all language, appears forever poised between the wager of novelty and comprehensibility. As this entry attests, intensive multidisciplinary research since the 1970s has accumulated convincing evidence that figurative language is best described as a vital and unique aspect of how human beings reason about their worlds. As creativity and conventionality are the indispensable poles of that thinking process, it is easy to see how and why figurality partakes of both.

BIBLIOGRAPHY

- Black, M. (1979), "More about Metaphor," in Ortony.
- Cohen, J. (1979), "The Semantics of Metaphor," in Ortony.
- Fauconnier, G. and M. Turner (2002), *Way We Think*.
- Forceville, C. and E. Urios-Aparisi, eds. (2009), *Multimodal Metaphor*.
- Gibbs, R.W., Jr. (1994), *Poetics of Mind*.
- Gibbs, R.W., Jr. (2000), "Making Good Psychology out of Blending Theory," *Cognitive Linguistics* 11: 347–358.
- Gibbs, R.W., Jr., ed. (2008), *Cambridge Handbook of Metaphor and Thought*.
- Gibbs, R.W., Jr. and J. O'Brien (1990), "Idioms and Mental Imagery," *Cognition* 36:35–68.
- Jakobson, R. (1956), "Two Aspects of Language and Two Types of Aphasic Disturbances," in Jakobson and Halle.

- Jakobson, R. and M. Halle, eds. (1956), *Fundamentals of Language*.
- Lakoff, G. and M. Johnson (1980), *Metaphors We Live B.*
- Lakoff, G. and M. Johnson (1999), *Philosophy in the Flesh*.
- Lausberg, H. (1998), *Handbook of Literary Rhetoric*, trans. M.T. Bliss, A. Jansen, and D.E. Orton; ed. D.E. Orton and R.D. Anderson.
- Ortony, A., ed. (1993), *Metaphor and Thought*, 2nd ed.
- Searle, J. (1993), "Metaphor," in Ortony.
- Semino, E. and J. Culpeper, eds. (2002), *Cognitive Stylistics*.
- Shen, Y. (1997), "Cognitive Constraints on Poetic Figures," *Cognitive Linguistics* 8:33–71.
- Shen, Y. (2007), "Foregrounding in Poetic Discourse," *Language and Literature* 16:169–81.
- Sperber, D. and D. Wilson (1995), *Relevance*, 2nd ed.
- Steen, G.J. (2007), *Finding Metaphor in Grammar and Usage*.
- Sweetser, E. (1990), *From Etymology to Pragmatics*.

First Novel, The *see* Definitions of the Novel
Focalization *see* Narration; Narrative Technique
Formal Realism *see* History of the Novel

Formalism

DEVIN FORE

The Russian formalists were an eclectic constellation of figures from a variety of fields, including literary criticism, LINGUISTICS, philology, and ethnology who from 1915 through 1930 produced a diverse corpus of scholarship on aesthetic form and cultural value. Although their principal objects of study were literary texts, the formalists also wrote on other modes of cultural expression such as film, oratory, JOURNALISM, and LIFE WRITING.

The two centers of formalist activity were OPOIaZ, the Petersburg Society for the Study of Poetic Language (founded 1916),

and the Moscow Linguistic Circle (or MLK, founded 1915). While OPOIaZ comprised chiefly literary historians—Viktor Shklovsky (1893–1984), Boris Eikhenbaum (1886–1959), Osip Brik (1888–1945), and Boris Tomashevsky (1890–1957)—and consequently had a more empirical orientation than their Moscow counterparts, at the core of the MLK was a group of linguists—Roman Jakobson (1896–1982) and Grigori Vinokur (1896–1947)—whose interest in language led them to poetry and literature as privileged discourses for theorizing general processes of signification. The diversity of their approaches notwithstanding, a symbiosis between the two groups emerged, giving rise to a shared program that remains a methodological exemplum of rigorous, immanent literary criticism. For the most part, the theories of the formalists remained closely bound to the forms of contemporary avant-garde literature that constituted both the context and object of their investigations (e.g., Futurist poetry, experimental prose, factography; see SURREALISM). As a result, it becomes difficult to separate the critical project of the formalists from a general poetics of MODERNISM.

MEDIUM SPECIFICITY AND THE MATERIALITY OF ART

Formalist inquiry was initially motivated by the desire to specify literature by scientific means. Reacting against contemporary methods of literary analysis, an unsystematic admixture of psychobiographical narrative, sociological determinism, and philosophical speculation, the formalists investigated the autonomous laws and components of literary systems. In Jakobson's famous words, "The object of study in literary science is not literature but 'literariness' [*literaturnost*], that is, what makes a given work a *literary* work" (1921, "On Realism in Art"). This

project to identify the immanent laws of the aesthetic object required isolating the distinctive features of the given artwork from those of all other forms of cultural production. Thus, the first move of any formalist analysis is to establish the inherent structural qualities of the medium under consideration. On the one hand such autonomization did much to define the study of art on its own terms; on the other, the isolation of the work of art from other factors tended, at formalism's most extravagant polemical moments, to absolutize the aesthetic object as an autotelic value.

While their emphasis on the materiality of the signifier prompted accusations that the formalists ignored the ideological and semantic dimensions of the work of art, it is not true that they neglected the content or meaning of the aesthetic work. On the contrary, their contributions enlarge the ambit of semantic analysis by addressing somatic and perceptual dimensions of the poetic text (e.g., rhythmic, intonational, and phonic elements) that are otherwise neglected by traditional methods of literary hermeneutics.

DEVICES OF DEFAMILIARIZATION AND TRANSFORMATION

In his programmatic text from 1917, "Art as Device," Shklovsky declared that art's vocation was to combat the natural human tendency toward the automatization of perception (in Lemon and Reis). Shklovsky identified *ostranenie* ("defamiliarization") as a technique for restoring the vividness and tangibility of everyday experiences that otherwise fall below the threshold of consciousness: through distortion and exaggeration, defamiliarization draws attention to the construction and conventionality of the work and increases the reader or auditor's awareness of the material support of the

aesthetic object. Rather than looking *through* a defamiliarized text or object, the reader is thereby prompted to look *at* it, to contemplate the raw stuff, or *facture*, of the work itself. In Shklovsky's famous phrasing, defamiliarization makes the stone *stony* once again.

The formalists defined the aesthetic *priem* ("device") as a mechanism for defamiliarizing habituated perception, and the artwork, by extension, as the sum of these devices. It is important to note that the formalists conceived of the "device" not substantively, but operationally. For them, the "device" was not a static, hypostatizable thing, but a dynamic activity. (*Priem* can also be translated as "method" or "technique.") "Device" thus designates an action carried out on the pre-aesthetic material available to the artist, while "form" is the result of this transformation, this act of removing material from one discursive system and integrating it into the new system of relationships that are constituted by the artwork as an integral totality. Through the concept of the "device," the formalists reconceived the aesthetic object as an aesthetic operation, or function. As Eikhenbaum wrote in a resumé of the formalists' achievements, "We set out with the general concept of the form in its new currency, and came by way of the concept of the device to the new concept of function" (in Matejka and Pomorska, 34). As the titles of a number of their studies would suggest—e.g., Eikhenbaum's "How Gogol's *Overcoat* Is Made" (1919) or Shklovsky's "How *Don Quixote* Is Made" (1921)—the formalists wanted to understand not the content of the artwork but how it operates.

Since the formalists found the distinction between subject matter and formal organization to be analytically untenable, they substituted for the familiar dualism of *content* and *form* the operational distinction between (extra-aesthetic) *material* and (aes-

thetic) *device*. The formalists initially articulated the latter binary as the difference between practical and poetic language, between the communicative language of quotidian life and this language in its transformed and defamiliarized state. In their studies of narrative forms, specifically, this difference was reformulated as the distinction between the *fabula*—the "story," or pre-literary found material—and the *siuzhet*, or "plot," which was conceived as the sum of all of the deviations from this original material, for example in the transformation and repetition of motifs or the retardation or diversion of the expected course of the narrative. For this reason, Pavel Medvedev rightly suggested in *The Formal Method in Literary Scholarship* (1928) that the formalists followed what was essentially an *apophatic* conception of art: they believed that artistic production was a subtractive process and that the aesthetic object was the result of an act of negation. Defined as the distortion of everyday speech or the defamiliarization of habitual perception, the work of art was performe parasitic.

Conceived, then, as a distorted version of everyday codes and conventions of communication, the aesthetic object was not the result of creation *ex nihilo*. As the formalists explained, artistic production was a process of decontextualization and recontextualization, the extraction of language from the setting of everyday discourse and its reinsertion into the new semantic field established by the artwork. The aesthetic function was realized in this act of transposition from one discursive register into another. This understanding of the aesthetic act as a *mnozhestvennaia perekodirovka sistem* ("multiple recoding of systems"), as Tartu semiotician Iurii Lotman called it, legitimated what was essentially a poetics of montage and of the readymade. Despite the manifest partiality that this model of the aesthetic process

exhibited toward modernist works of literature, the formalists found it on occasion to be equally applicable to readings of more traditional literary forms such as the realist novel (see REALISM). In fact, one of the most impressive scholarly artifacts of this method was Shklovsky's study *Material and Style in Tolstoy's Novel 'War and Peace'* (1928), which described the aesthetic devices at work in Tolstoy's classic through a juxtaposition of passages from *War and Peace* (1865–69) with coeval source material.

THE EVOLUTION OF AESTHETIC SYSTEMS

Whereas the first phase of formalism (1916–21), exemplified by the work of critics such as Shklovsky and Eikhenbaum, foregrounded the phenomenological qualities of the artwork using a critical method that was synchronic in nature, the second phase (1921–30) enhanced the initial forays into aesthetic structure with disquisitions into the laws of literary evolution. The later studies focused on the relationship between literature and other social systems of an economic, political, or technological nature. The scholar spearheading this shift in emphasis from structure to evolution was Iurii Tynianov (1894–1943). This development was ultimately not a reorientation of or correction to the original trajectory of the formalists, as critics of formalism were eager to insinuate, for Shklovsky's initial model of "art as device" had already defined literature as a transformation of material taken from other nonliterary systems. Indeed, from the very beginning formalist analysis of literature presumed the dialectical interdependence of aesthetic and extra-aesthetic systems. Although these notions were present in Shklovsky's early work, it was Tynianov who first tried to theorize systematically the mechanisms of this exchange, in "On

Literary Evolution" (1927). Explaining that "the study of isolated genres outside the features characteristic of the genre system with which they are related is impossible," Tynianov identified two aspects of the literary construction: one was the *auto-function*, which designated the relationship of a single element to other elements within the structural totality of the aesthetic object; the other was the *syn-function*, which designated the relationship of an element to isomorphically comparable elements within other aesthetic objects (in Matejka and Pomorska, 70–71). According to the formalists, all of the components of the aesthetic object were, moreover, functionally subordinated to a single distinctive feature that they called the "dominant." At certain points in history, rhyme, for example, is the "dominant" of poetry. By organizing the work of art into a hierarchically ordered system, the "dominant" feature secures the integrality of the work of art as an aesthetic gestalt.

Through their proto-structuralist studies of literature as a "system of systems," the formalists arrived at the question of literary history. According to the formalists, the dynamics of literary evolution were driven by the constant interaction between literature and extraneous, nonliterary systems. To understand literary history it thus becomes necessary to investigate those neighboring social systems which were the sources of literature, as well as those which, conversely, literature influenced. For example, Tynianov noted that, while private letters and documents had once been of no literary value, in the nineteenth century these minor domestic forms were relocated to the center of literary production. He discerned a law at work in this exchange between the nonliterary and the *literaturnyi fakt* ("literary fact"): "At a period when a GENRE is disintegrating, it shifts from the center to the periphery, and a new phenomenon floats in to take its place in the

center, coming up from among the trivia, out of the backyards and low haunts of literature” (33). Published at a moment when formalist research was keenly interested in excavating the minor genres, hack authors, and forgotten epigones of Russian literary history, Tynianov’s collection of essays entitled *Archaists and Innovators* (1929) presented the work of art as an effect of the ceaseless metabolism between a culturally valued aesthetic order and the reservoir of unrecognized devices available in everyday life.

Through their inquiry into the evolutionary laws of literature the formalists discovered a cultural dynamic that derives aesthetic value from the interchanges between the sacred and the profane, the valorized and the quotidian, the innovator and the epigone. What they discovered, in other words, was the basic logic of aesthetic modernity (see MODERNISM). First explored by Tynianov in “The Literary Fact” and elaborated much later by Lotman and Boris Uspenskii in their “Binary Models in the Dynamics of Russian Culture” (in A. Nakhimovsky and A.S. Nakhimovsky, eds., 1985, *Semiotics of Russian Cultural History*), the cultural economy posited by the formalists contradicted modernity’s celebrated apotheosis of the new. In true structuralist fashion Tynianov demonstrated that there is no authentic novelty or invention, only the constant relocation of readymade features and devices from one system to another, the endless recycling of elements that have been moved to the periphery (automatized) and then reinstated (defamiliarized). Investigating the laws of literary evolution, the formalists arrived at the ultimate identity of *Archaists and Innovators*.

AFTERLIFE OF FORMALISM

The techniques and approaches of Russian formalism influenced a number of later movements within poetics and literary crit-

icism. While this influence was more oblique in certain instances (e.g., New Criticism and French STRUCTURALISM), in others these filiations were quite explicit. Such was the case with the Prague Linguistic Circle and the Tartu School of Semiotics. The former, commonly called the Prague School, was established in 1926 by Vilém Mathesius (1882–1945) and included members from the Russian formalist circles such as Petr Bogatyrev (1893–1971), Boris Tomashevsky, and, most importantly, Roman Jakobson, who had moved to Prague in 1920. In 1929 Jakobson coined the term STRUCTURALISM to designate their shared method, which emphasized the synchronic analysis of the artwork. Recognizing the arbitrary nature of the sign, whose value and meaning, as Ferdinand de Saussure (1857–1913) had discovered, emerge differentially vis-à-vis other signs within the same system, Prague Structuralists such as Jan Mukařovský (1891–1975) viewed the artwork from a purely functionalist perspective, namely, as the aggregate of relations established among a work’s constituent signs. But in contrast to the Russian formalists, whose conceptualization of the work of art was in most cases derived from and restricted by a model of signification that was exclusively linguistic in nature, the Prague Structuralists expanded their studies to a variety of semiotic systems. And so, for example, the Prague School succeeded in analyzing a number of dramatic works, which are semiotically heterogenous compounds of gestural, linguistic, and plastic signs.

Founded in 1964 at the University of Tartu in Estonia, the Tartu School of Semiotics revived the formalist impulse while incorporating new scientific developments from the fields of information processing, machine translation, and mathematical modeling. Iurii Lotman (1922–93), the most prominent scholar in the Tartu School, characterized art as a “modeling

system,” which he defined as “a structure of elements and of rules for combining them that is in a state of fixed analogy to the entire sphere of an object of knowledge, insight or regulation. Therefore a modeling system can be regarded as a language” (qtd. in Lucid, 7). Lotman’s definition reveals the predominance of the linguistic model in the thought of the Tartu School, which defined not just literature but also visual art, cinema, and music as “secondary modeling systems.” Despite the shortcomings of this linguistic maximalism, the initial conjunction of formalism and cybernetic theory developed by the Tartu School in the 1960s proved to be highly productive in the next decade, when the Tartu scholars turned away from the institutions of art and began to develop a general semiotics of social behavior. Reiterating the evolution of formalism in the mid-1920s, when it abandoned the immanent analysis of artworks and began investigating instead laws that regulate the interactions of literature with other social systems, in the 1970s the Tartu School shifted its focus to the dynamics between forms of cultural production and their social context. The result was a type of cultural ANTHROPOLOGY that, in many cases, was conceptually more capacious and versatile than the work of the original formalists.

SEE ALSO: Fiction, Mikhail Bakhtin, Novel Theory (20th Century).

BIBLIOGRAPHY

- Bakhtin, M.M. and P.N. Medvedev (1978), *Formal Method in Literary Scholarship*, trans. A. Wehrle.
- Bann, S. and J. Bowlte, eds. (1973), *Russian Formalism*.
- Garvin, P., ed. (1964), *Prague School Reader on Esthetics, Literary Structure, and Style*.
- Hansen-Löve, A. (1978), *Russische Formalismus*.
- Jameson, F.R. (1972), *Prison-House of Language*.
- Lemon, L. and M.J. Reis, eds. (1965), *Russian Formalist Criticism*.
- Lucid, D.P., ed. (1977), *Soviet Semiotics*.
- Matejka, L. and K. Pomorska, eds. (1971), *Readings in Russian Poetics*.
- Matejka, L. and I. Titunik, eds. (1976), *Semiotics of Art*.
- O’Toole, L.M. and A. Shukman, eds. (1977), *Formalist Theory*.
- O’Toole, L.M. and A. Shukman, eds. (1978), *Formalism*.
- Pike, C., ed. (1979), *Futurists, the Formalists, and the Marxist Critique*.
- Pomorska, K. (1968), *Russian Formalist Theory and Its Poetic Ambiance*.
- Shklovsky, V. (1991), *Theory of Prose*.
- Striedter, J. (1989), *Literary Structure, Evolution and Value*.
- Tynianov, I. (1999), “The Literary Fact,” in *Modern Genre Theory*, ed. D. Duff.

Foucault, Michel *see* Authorship

Frame

BRONWEN THOMAS

The term *frame* is used in a metaphorical sense when applied to the novel. It borrows from the idea of a frame to a painting and is primarily used to denote borders and levels within the narrative, or how the actions and words of the fictional characters are shaped and presented to the reader. In theory, therefore, the metaphor suggests that a novel has stable and clearly defined boundaries. It also intrinsically implies a clear dichotomy between “outer” and “inner” worlds. This is most clearly the case where the frame narrator’s account of events is portrayed as objective, in contrast to the subjectivity of the inset narratives. The extent to which this framing is foregrounded and overt may vary considerably, but the device typically serves to remind readers that the story world is separate from their own and draws attention

to the act of telling and to the figure of the storyteller, casting doubt on the extent to which any one telling will suffice.

Frame theory or frame analysis borrows more specifically from the work of Erving Goffman on the discourse markers we use to enclose or bracket aspects of our everyday talk. For example where we initiate a story within a conversational setting, we would typically signal this by using familiar locutions such as “Once upon a time,” or “Let me tell you a story.” Goffman’s theory has been applied to the novel, particularly the framing of stretches of dialogue. Here the frame consists of narrative description or commentary which orients the reader by providing information about the characters, what they are doing, where they are, and so on. Mixing our metaphors, we might say that framing in this sense is like the opening and closing of the curtain in a theatrical performance. Once the introductory remarks have been made, the narrator withdraws from the “scene,” perhaps only reappearing at the end of a section or a chapter, to signal the curtain descending on this particular event and to take up the reins of the narrative once again. This framing work may be fairly unobtrusive and minimalistic, but the narrator may use the frame to direct the reader toward a particular interpretation of the scene, to link it to other scenes in the novel, or to foreground the extent to which the characters’ talk has been “edited” or stylized.

In narrative theory the concept of framing draws on work in the field of cognitive psychology to refer to the ways in which the mind processes and stores information and sensory experiences. Frames are seen in this context as providing a kind of shorthand or blueprint for our mental experiences, and it is argued that this can help illuminate the reading process and the kinds of expectations that readers bring to a novel. The notion of cognitive frames has also been used

to explore how readers approach characters in a novel as having continuing consciousnesses and rely on hypotheses about their mental functioning in order to understand their actions and interrelations.

THE PARATEXT

The term *paratext* was coined by French narratologist Gérard Genette to refer to all of the supplementary material which accompanies a printed text, though the term has subsequently been applied to all kinds of audiovisual and multimedia forms. For a print novel, the paratext would include anything that appears on the book jacket, the frontispiece, contents and copyright pages, author biographies, lists of other titles by the same author or in the same series, epigraphs, dedications, and so on. However, novelists have always exploited these aspects of the novel to blur the boundaries between the story world and the real world. This was particularly evident in the early novel in the English tradition, where authors did all they could to test the boundaries of the genre and to playfully probe the distinction between fact and fiction. For example, the contents of a novel could be presented as a history, a memoir, or an autobiography. Thus the full title page of *The History and Misfortunes of the Famous Moll Flanders* (1722) by Daniel Defoe declares the book to have been “written from her [Moll’s] own Memorandums” but carries a Preface by an anonymous editor, which attempts to provide the reader with moral guidance and advice as to how to approach the story which is to follow.

The device of framing a story as the work of a named, or unnamed source, “edited” by a third party, has been used repeatedly in the novel paradoxically both to create the illusion of authenticity and to distance the reader from the story world and from

the perspective offered by the narrative. In the contemporary novel, experimentation with paratextual material may be employed for the purpose of unsettling the reader and dislocating the stability of boundaries and margins of all kinds (see METAFICTION). Quasi-academic footnotes threaten to take over the page in Manuel Puig's *El beso de la mujer araña* (1976, *Kiss of the Spider Woman*), and manage both to tease and irritate the reader as they become increasingly intrusive. Such aspects of the design of a novel are crucial in defining what kind of relationship an author chooses to set up with his readership, and thus can in no way be dismissed as merely being of peripheral interest or importance.

FRAMED STORIES AND NARRATIVE EMBEDDING

The idea of the story within a story goes back to the earliest oral traditions and may involve extensive and complex forms of narrative embedding. Here metaphors of “Chinese boxes” and “Russian dolls” are relied upon to help convey the sense of almost infinite regression that such narratives can create. The effect of stories “nesting” within one another in this way may be used to offer the impression that the reader is being given a number of different perspectives on events. However, the nesting may be more hierarchical, where one narrative level is portrayed as having more authority. For example, a frame narrative may be provided where the narrator or situation of telling in the embedded or inset narrative leaves some room for doubt in terms of reliability or veracity.

Joseph Conrad's *Heart of Darkness* (1902) is mainly given over to Marlow's reminiscences about his adventures in the Congo, delivered to various unnamed men accompanying Marlow aboard the *Nellie* on the

Thames River. However, Marlow's narrative is embedded within the narrative of one of the men on the boat, who introduces Marlow to the reader, picks up the pieces when Marlow's telling breaks down or is interrupted, and provides the coda to the novel as Marlow's telling stutters to a halt. The reactions of the men on the boat to Marlow's narrative are crucial in stressing to the reader just how “absurd” his experiences would seem to anyone who is “moored with two good addresses . . . a butcher round one corner, a policeman round another” (chap. 2). The frame narrator is there to react to Marlow's narrative rather than explain it to the reader, and he is no more able than Marlow to place events within some kind of moral framework or shape them into some kind of poetic vision.

In Conrad's novel, the frame narrator takes on the familiar role of attempting to re-create for the reader the essence or flavor of an oral narrative. This device relies on the illusion of total recall, and the expectation that the frame narrator is able to combine faithfulness to the oral telling with an ability to give it shape and order. However, Conrad thwarts the reader's expectations at every turn. The identity of the frame narrator is never revealed, his narrative is subordinate to Marlow's rather than the other way around, and the frame narrator is left disoriented and disturbed by what he hears. Indeed, he offers an implicit critique of the fundamental grounds for the metaphor of the frame—the possibility of distinguishing outer versus inner worlds—when he attempts to convey to the reader Marlow's style of narration: “to him the meaning of an episode was not inside like a kernel but outside, enveloping the tale which brought it out only as a glow brings out a haze” (chap. 1).

In Conrad's novel the frame narrator shares the same plane of reality as Marlow, though the precise interval between his

listening to Marlow's story and his recounting it within his own telling is left undefined. In other novels, frame narrators may occupy a different temporal or spatial realm and may be armed with knowledge or information which for some reason or another was not available to the embedded narrator. Examples of multiple narrative embedding, such as Emily Brontë's *Wuthering Heights* (1847), or Mary Shelley's *Frankenstein* (1818), provide the possibility of one embedded narrator casting doubt on the truthfulness or fullness of another's telling, and of an ongoing dynamic interaction between the various narrative levels. Moreover, such novels may experiment with different forms of narration, such as letters, manuscripts, diaries, and so on, such that the reader cannot rely on any one source, or any one teller, for a fixed and stable standpoint from which to observe events. In the postmodern novel, for example Umberto Eco's *Ill nome della rosa* (1992, *The Name of the Rose*), multiple embedding may indeed serve explicitly to disturb the stability and solidity of the fictional world.

In some novels, it may only be revealed at the very end that the main narrative is embedded. Such a device may be used where an unfinished story is "found" by a third party, or where the main body of the novel is revealed to have been a dream, as is made evident by the intervention of the "author" at the end of Milan Kundera's *Identity* (1998). However, this kind of narrative trickery can be risky for an author, leaving readers potentially feeling cheated or duped.

BREAKING THE FRAME

The term "breaking the frame" is usually associated with works of metafiction, where the business of constructing a narrative becomes the main focus. In such novels, we are constantly being reminded that everything

we read about is being framed for us, and this framing is presented as a problematic which needs to be foregrounded (Waugh). The frame of the fictional world is broken when either the narrator or one of the fictional characters disrupts the seeming separation of ontological levels or realms. Foregrounding the arbitrariness of beginnings and endings, mixing "real-life" personages and places with the obviously fictional, brings into sharp focus our reliance on, and habituation to, the frames through which we perceive and experience the world(s) of the novel. This has the effect of disrupting our ability to hold separate these different planes of reality and jolts us into a renewed awareness of the fictionality of the world within which we have become immersed. In Kurt Vonnegut's *Slaughterhouse Five* (1969), the narrative of Billy Pilgrim's experiences of the Dresden bombings and being abducted by aliens is framed by an opening chapter where the figure of the "author," "an old fart with his memories and his Pall Malls" (chap. 1), tells us about how he came to write this book. Chap. 2 takes up the story of Billy Pilgrim, but the author cannot resist intruding into the narrative at various points—"That was I. That was me. That was the author of this book"—breaking through the "frame" to disrupt the reader's immersion in the fictional world and to challenge any threat of complacency or desensitization.

Although by no means confined to the postmodern novel, the idea of narrators and characters stepping in and out of different planes of reality in this way has become a staple of this kind of fiction, to the point where it has become increasingly difficult to find new ways to shock or disorient the attuned reader.

FRAMES, LOOPS, AND STACKS

The metaphor of the frame has been criticized for portraying narrative fiction as

static rather than dynamic. Moreover, the metaphor becomes more difficult to hang on to where narratives eschew linearity, or where the intersecting layers may be so numerous as to defy differentiation. Readers of hypertext novels are typically presented with a potentially infinite number of different narrative levels and story fragments, such that it becomes virtually impossible to differentiate between them in terms of order, precedence, and so on. Hypertext structure also means that the point at which the framing is discovered or revealed may vary with every reading. In hypertext theory, the metaphor of the loop is used in an effort to evade the implication of stasis and linearity that metaphors such as that of the frame may carry. Narratologist and new media theorist Marie-Laure Ryan has proposed replacing the metaphor of the frame with that of the stack, taken from the language of computer programming, which she contends is better able to account for narrative dynamics in a way that resists hierarchization and ossification.

Nevertheless, despite its apparent limitations, the concept of the frame remains an important one for analyzing novels where one story is told within another, and where it is important for our reading of the novel to be able to understand the relations between those stories and their tellers.

SEE ALSO: Closure, Modernism, Narrative Perspective, Narrative Technique, Realism.

BIBLIOGRAPHY

- Genette, G. (1997), *Paratexts*, trans. J.E. Lewin.
- Goffman, E. (1974), *Frame Analysis*.
- McHale, B. (1992), *Constructing Postmodernism*.
- Nelles, W. (1997), *Frameworks*.
- Newman, B. (1986), "Narratives of Seduction and the Seductions of Narrative," *English Literary History* 53(1):141–63.
- Ryan, M.-L. (2002), "Stacks, Frames and Boundaries," in *Narrative Dynamics*, ed. B. Richardson.
- Waugh, P. (1984), *Metafiction*.
- Williams, J. (1998), *Theory and the Novel*.

France (18th Century)

PHILIP STEWART

Anyone who was asked in 1700 or even 1730 to name the greatest French novel would very probably have cited *Les Aventures de Télémaque* (ca. 1696, *The Adventures of Telemachus*) by Archbishop François de Fénelon, a didactic work that actually had been written as part of an education program for the dauphin (eldest son of the king of France). For its classical purity and cadences it was also often described as a "poem in prose." No fact better illustrates how much not only tastes but also genres have changed: today *Télémaque*, given its highly stylized structure and style, and the fact that it is, after all, a sort of high-minded pastiche of Homer, would be an unlikely candidate for inclusion in that literary category at all, let alone selected as the best.

Going into the eighteenth century, the three most important facts about the novel are these. First, *roman*, the French term for a novel, had been in continuous use since the Middle Ages, when it designated a verse "romance" (see HISTORY). So the novel, an ongoing though evolving literary tradition, was never thought to have been invented in any particular place or at any particular time.

The second is that the world of letters was pretty similar in France and Britain. Besides the fact that many people in both countries could read the language of the other, novels were translated in large numbers from one side of the Channel to the other (see TRANSLATION). *Télémaque*, for example, also went

through many English editions. A number of novelists themselves translated novels from across the Channel, among them Penelope Aubin (Robert Challe's *Les Illustres Françaises*, 1713; *The Illustrious French Lovers*) and Eliza Haywood (eight mainly French novels) in England, and Antoine Prévost (Samuel Richardson's *Clarissa*, 1747–48 and *Sir Charles Grandison*, 1753–54) and Marie Riccoboni (Henry Fielding's *Amelia*, 1751) in France. (It needs to be conceded that “translation” at the time often implied considerable ADAPTATION.) The readership of both these imports and native works was to grow steadily throughout the century, both in terms of numbers of readers and in terms of their steadily increasing production.

The third is that comic novels had always been another aspect of the same tradition as more serious novels, and they too—*Le Roman de Renart* (13th century, *The Fox and the Wolf*), for instance—go back to medieval times. Even the heroic and pastoral novels of the seventeenth century stood in dynamic counterpoint with comic novels such as Charles Sorel's *Histoire comique de Francion* (1623, *The History of Francion*), Paul Scarron's *Roman comique* (1651–57, *The Comic Novel*) and Antoine Furetière's *Roman bourgeois* (1666, *The City Romance*). This tradition is carried forward in a major way by the likes of Alain-René Lesage with *Gil Blas* (1715–35) and Denis Diderot with *Le Neveu de Rameau* (1805, *Rameau's Nephew*) and *Jacques le fataliste et son maître* (1796, *Jacques the Fatalist and his Master*), the latter of which was in part inspired by Laurence Sterne's *Tristram Shandy* (1759–69), as it is by Jonathan Swift and Henry Fielding in Britain. In contrast to most novels, which mimic historical narrative as if they themselves were true (Robert Challe's is typically subtitled *Histoires véritables*, “true stories,” which probably would fool no one), the comic novel makes

its devices patent, satirizing the form itself as much as it does the society in which it is set.

In other words, it will not do—or it will no longer do—to define the novel narrowly, discriminating between “true” novels and near-misses, or as a “national” attribute, with specific cultural variants. NATIONAL literatures are in any case an invention of the nineteenth century, not part of the earlier transnational world of letters (sometimes referred to indeed as *la république des lettres*). In the broad sweep of prose fiction that flows down to us from the Middle Ages (but also, one can say, from Antiquity), the novel represents not a circumscribed formula but a loose configuration of practices that more or less share certain formal features.

By the seventeenth century, the verse forms of the older *roman* had long been left behind but other traditional aspects—notably the close relationship to tragic and pastoral as well as comic genres—were still alive, and many of the novels retained an epic and elegiac quality. They were also often notable for their length; indeed the tradition of lengthy, multiple-volume novels extends well into the eighteenth century with Lesage, Prévost, Pierre Carlet de Marivaux, and Jean-Jacques Rousseau. There were shorter novels as well, some labeled *histoire* (generally set as oral narrative) or *mémoires* (when explicitly written) if they were related in the first person, others *nouvelle historique* (see HISTORICAL NOVEL). The only novel of the later seventeenth century that still has a wide readership today, Madame de Lafayette's *La Princesse de Cleves* (1678, *The Princess of Cleves*), belongs to the latter category.

Three instant classics stand out in the opening phase of the eighteenth century. The first is Challe's *Les Illustres Françaises* (1713, *The Illustrious French Lovers*), in which the dramatic stories of seven couples with varied destinies are deftly woven

together and related in round-robin manner by their protagonists to each other. It is a masterpiece by any standard, and though triumphantly rediscovered during the twentieth century, is still not well enough known.

The second, *Histoire de Gil Blas de Santillane* (*The Story of Gil Blas de Santillane*) by Lesage, began publication in 1715 and was extended in 1724 and 1735. Lesage, who was also a comic playwright, is doubly skilled in construction of comic situations and in his witty narrative style. The episodic nature of the story and its publication, reminiscent of the tradition of Miguel de Cervantes Saavedra's *Don Quixote* (1605, 1615), and of its autobiographical form, are representative of many of the longer novels of the first half of the eighteenth century.

Finally, Montesquieu's *Lettres persanes* (1721, *Persian Letters*) alternates the tense inner struggles of a harem in Isfahan with the often satirical experiences of its absent master far away in Paris. In this case there is no "narrator" and no narrative framework outside the polyphonic series of letters that constitute the novel: 150 of them, spanning nine years and emanating from nineteen different characters. In the process, it helped to constitute the EPISTOLARY novel as a significant sub-genre, one which is still practiced today. *Lettres persanes* has been translated numerous times into English.

In the same time frame, Orientalist Antoine Galland was compiling and issuing the lengthy series of Arabian tales that make up his immensely influential *Mille et Une Nuits* (1704–17, *A Thousand and One Nights*, 12 vols.) which, translated into every European language, was the vehicle of an oriental vogue which too is still felt today (see ARABIC). It permeates many of the eighteenth century's short stories, including those of Antoine Hamilton (1731, *Zeneyde*, and many others) and Claude Crébillon (1734, *Tanzaï et Néadarné*; 1742, *Le Sopha*, *The*

Sofa; 1754, *Ah, quel conte!*, *Ah, What a Tale!*), not to mention several by Voltaire, e.g., *Zadig* (1747).

The 1730s saw the rapid rise to prominence of three major novelists: Prévost, Marivaux, and Claude Crébillon. The first, an unhappy priest with huge pent-up skills (and perhaps emotions), first seized the public's attention with the intense, passionate episodes of *Mémoires et aventures d'un homme de qualité* (1728–32, *Memoirs and Adventures of a Man of Quality*), the seventh and final volume of which, entitled *Histoire du chevalier des Grieux et de Manon Lescaut* (*The Story of the Knight of Grioux and of Manon Lescaut*), became an enduring classic under the foreshortened title *Manon Lescaut*. In addition, Prévost also produced in a little more than a decade the *Histoire de M. Cleveland, fils naturel de Cromwell* (1731–39, *The Story of Mr. Cleveland, Natural Son of Cromwell*, 8 vols.), again a resounding success; *Le Doyen de Killerine*, (1735–40, *The Dean of Killerine*, 4 vols.); and *Histoire d'une Grecque moderne* (1740, 2 vols., *The Story of a Modern Greek*). During much of this same period he was reporting from London and Paris on the English literary scene through his periodical *Le Pour et Contre* (*For and Against*).

The power of *Manon Lescaut* was due to its relative concision and the almost implausible but compelling passion of its noble hero, Des Grieux, for a fetching, mysterious and flighty commoner for whom he throws fortune and duty to the winds—a story which later inspired two major operas, Jules Massenet's *Manon* (1884) and Giacomo Puccini's *Manon Lescaut* (1893). Like many novels of the time, it justified its morally dubious action as a valuable lesson—vicarious experience, in other words—that could profit young people who might be subject to like temptations. It thus exemplifies the frequent moral ambiguity of the novel, which in contrast to tragedy

sometimes descended into the less dignified realms—as *Gil Blas* had already done—of human experience. Its persuasive rhetoric, along with the protagonists' frequently unedifying conduct, were seen by some as a pernicious combination, unsuited for the young and perhaps for ladies as well (see DECORUM).

Marivaux, an outstanding dramatist, also practiced other genres, including the novel, of which he wrote several. The best known are *La Vie de Marianne* (1731–42, *The Life of Marianne*), the story of a winsome and shrewd orphan girl and *Le Paysan parvenu* (1734–35, *The Fortunate Peasant*), the big city adventures of a handsome and opportunistic peasant lad. Whereas Prévost's protagonists range throughout Europe and the Near East, these two novels—neither of which was ever completed—are thoroughly Parisian in orientation. Meanwhile, Crébillon, while creating his largest stir by way of political satire with *Tanzai et Néadarné* (1734), also gave a big boost to what is sometimes called the “libertine” genre, dealing mostly with the dissolute lifestyle of young noblemen, with his 1736 novel (also uncompleted), *Les Égarements du cœur et de l'esprit* (*The Wayward Head and Heart*). Charles Duclos soon followed with his *Confessions du comte de**** (1741, *Confessions of the Count of****), of which the title, like Crébillon's, suggests an eventual end to licentious and dissipated youth and a return to the more stable contentment of calmer affection. All of the novels of the 1730s just mentioned are fictional autobiographies (see LIFE WRITING).

Another form of first-person narrative, however, was soon to attain prominence, and Crébillon also helped promote it with *Lettres de la marquise de M*** au comte de R**** (*Letters from the Marquis of M*** to the Count of R****) in 1732. Like the prototype of the GENRE, *Lettres portugaises* (1669, *Portuguese Letters*), attributed to Gabriel de Guil-

leragues, this novel consists of a series of letters by only one character (a variant labeled “monophonic”), the loved one either not responding or his letters not being transcribed; it is thus the perfect vehicle for the pathos of a woman who has been abandoned by her lover. The same form was adopted by Françoise de Graffigny in her 1747 bestseller, *Lettres d'une Péruvienne* (*Letters from a Peruvian Woman*), a tale told through the letters of a Peruvian princess who has been abducted and brought to France but never united (though they do once meet again) with her beloved Aza, who ends up in Spain instead of France and marries someone else. Another woman who wrote a number of highly popular letter-novels between 1757 and 1777 was Riccoboni.

But the range of the epistolary novel was about to expand exponentially. In 1754 Crébillon turned an interesting formal trick by his combination of narratives in *Les Heureux Orphelins* (*The Happy Orphans*). Though he started out to adapt Haywood's *Fortunate Foundlings* (1744), he soon diverged into an almost entirely different story with an unexampled hybrid structure: part one tells (in the third person) the adventure of the orphan Lucie, desperately fleeing first her own adoptive father and then the rake Lord Chester; in part two Madame de Suffolk relates to Lucie, now her companion, her own history of passion for and betrayal by the selfsame man; then in parts three and four it is Chester himself who, in a series of letters to a similarly unprincipled comrade in France, tells that very story once more, this time from his own, thoroughly jaded perspective. The various narrative forms thus embody complementary perspectives on events that largely overlap from one account to the next (see NARRATIVE PERSPECTIVE).

Montesquieu had already suggested something of the dramatic possibilities of multiple exchanges of letters in *Les Lettres*

persanes. In such a case, much of the action is incorporated within the letters themselves, one of the lines of influence being their illocutionary force, i.e., their intended effect upon the person addressed. The major event in this department was the publication and almost immediate translation into French of Samuel Richardson's first two novels, *Pamela, or Virtue Rewarded* (1740) and *Clarissa* (1747–48). The latter, despite its stupendous length (5 vols.) almost all of which Prévost's translation retained, took the reading public by storm, and in the process helped usher in an era of highly emotional fiction that would ultimately extend all the way into nineteenth-century Romanticism.

By this time, even conservative literary critics were beginning to relax the old prejudice that held the novel to be an upstart genre lacking classical antecedents (see REVIEWING), and thus one that could not be measured alongside COMEDY, tragedy, history, and EPIC; in other words, that it could be little more than popular literature. It had long been argued by some that on the contrary the novel was nothing other than the modern extension of the classical epic genre. In any case, it did appeal to an ever-widening public, in part because there was a steady growth in literacy. The production of new novels in French ranged from five to twenty per year in the first decade of the eighteenth century, from fifteen to forty in the 1750s, and from twenty-nine to sixty-nine in the decade 1778–87. (This number shot up in the Revolutionary period, 1787–99, in large part because censorship lapsed for several years.) So it is no wonder that the novel constantly expanded its horizons along with its readership.

There were still obstacles to the writer's ability to earn a living exclusively as a novelist. One was the lack of protection for authors' rights (see COPYRIGHT), which were generally relinquished once a manuscript

was sold to a bookseller for a fixed (and final) price. A second was an official pre-publication CENSORSHIP apparatus, focused on political, moral, and religious values, to which all books legally published in France were subject. It varied in intensity over time but was sometimes very strict on novels in particular. Still another was the flourishing, although certainly illegal, market in pirated editions, which soaked up a larger portion of the profits the more popular a book became (see REPRINTS). There were significant numbers of readers of French, and also publishers and sellers of books written in French, throughout Europe—notably in Britain, in the Netherlands and in Germany—which made control of the trade difficult and the rules of any one country impossible to enforce. Place of publication was often falsely imprinted; contraband was active and efficient, and never returned any profit to the writer.

It was the now-popular epistolary format that characterized two French masterpieces of international stature. By the time Rousseau published *Julie ou la nouvelle Héloïse* (*Julie or the New Héloïse*.) he had already made a name for himself as a defiant social critic, so his novel was much awaited, and when it arrived in 1761 it inspired intense and widely divergent opinions. In it Julie d'Étange, the only daughter of a minor but proud Swiss baron, falls uncontrollably in love with her tutor (formally unnamed, but referred to at times by the pseudonym St. Preux), finally succumbing to his seductions. Their letters, along with those of Julie's cousin Claire, principally chronicle their long struggle first to express and justify their hopeless love and ultimately to sacrifice and overcome it once Julie has finally given in to an arranged marriage with an ageing military comrade of her father's. The dynamics of irrepressible passion in tension with societal and moral obligations is the engine of this complex work that, like

Richardson's *Pamela* and *Clarissa*, to which it was much compared, is based on powerful sexual and emotional needs but equally on an obsession with virtue. *Julie* remains, as one critic has put it, the greatest French novel of the eighteenth century, though not necessarily the best.

That title may just go instead to a work no less troubling than *La nouvelle Héloïse*, the 1782 succès de scandale that was Pierre Choderlos de Laclos's *Les Liaisons dangereuses* (*Dangerous Liaisons*). Laclos proved himself, for one thing, an unequaled literary technician, by virtue not only of deft plot construction (see NARRATIVE STRUCTURE) but also of stylistic virtuosity. Whereas all of Rousseau's characters, though not wholly lacking in differentiation, speak a rather uniform sort of language, each character in the *Liaisons* has a distinctive personality and voice. More than most novelists, Laclos was prepared to defy conventional pretexts about the pedagogical benefits of the novel in order to denounce—he borrows his epigraph, “J’ai vu les mœurs de mon temps, et j’ai publié ces lettres” (“I have seen the morals of my times, and published these letters”) from Rousseau—what he saw as depravity on the part of elegant cynics who became, in effect, sexual predators on sincere but weaker prey. Thematically, his book thus has much in common with *Les Égarements du cœur et de l’esprit*, but it is more shrewdly designed, more cruel, and devastatingly complete in its plot resolution. Known today as much for its many celluloid versions as for its original text, *Les Liaisons dangereuses* remains one of the summits of intrigue and craftsmanship in the entire history of the novel.

Not that its contents were the most explicit with respect to graphic sensuality; it is indeed politely restrained in comparison to some of the period's pornography, a strain of literature which had been around since the printing press was invented. Some no-

vels in this category had covertly attained legendary status, such as the (necessarily anonymous) *Histoire de Dom Bougre, portier des chartreux* (1741, *The Story of Dom Bougre, Porter of the Carthusians*) and *Vénus dans le cloître ou la religieuse en chemise* (1719, *Venus in the Cloister, or the Nun in Her Chemise*). As they defied many taboos, such works frequently also cloaked themselves in philosophical pretensions, which led to a certain degree of conflation of the designation *romans philosophiques* with flagrant impropriety (see PHILOSOPHICAL). This combination is quite deliberate in some instances, such as *Thérèse philosophe* (1748, *Therese the Philosopher*), attributed to Jean-Baptiste de Boyer, marquis d'Argens. On the other hand, there were still many lighter-hearted “libertine” novels of carefully calibrated decency, in particular Jacques de la Morlière's *Angola, histoire indienne* (1746, *Angola, An Eastern Tale*), a mixture of fairytale and social satire, à la Crébillon; *Point de lendemain* (1777, *Never Again!*) by Dominique Vivant Denon, a delirious and lush sexual fantasy; and Jean-Baptiste Louvet de Couvray's complex, rollicking *Les Amours du chevalier de Faublas* (1786–89, *The Amours of the Chevalier de Faublas*).

There was no French phenomenon quite equivalent to the great vogue of the GOTHIC novel in Britain, but there were some works that explored the uncertain boundaries between the natural and the supernatural. One was a short work by Jacques Cazotte, *Le Diable amoureux* (1772, *The Devil in Love*), based on the conundrum of seduction by an otherworldly sprite in the form of a woman. It was however a Pole, Jean Potocki, who produced the hallucinatory blockbuster of the genre in *Le Manuscrit trouvé à Saragosse* (1804–10, *The Manuscript Found in Saragossa*), the original French version of which has been pieced back together only very recently.

Donatien de Sade, who had many axes to grind, was happy to plug into that particular

tradition with a vengeance, favoring lugubrious stories, often situated in monasteries, and filled with sexual and other, related kinds of violence. Though virtually unheard-of before the Revolution, the famous “marquis” could freely publish his works once press restrictions were lifted, at which time he released a series of famous and infamous novels such as *Justine ou les malheurs de la vertu* (1791, *Justine; or, The Misfortunes of Virtue*), *La Philosophie dans le boudoir* (1795, *Philosophy in the Boudoir*), *Juliette* (1787), *Les Crimes de l’amour* (1800, *Crimes of Passion*), and *Les 120 Journées de Sodome* (1904, *One Hundred and Twenty Days of Sodom*), which were to become underground classics for a century and a half until, in an era less obsessed with repressing pornography, Sade became, if not exactly a mainstream author, at least an acknowledged and significant novelist.

Diderot is nothing like Sade but was similarly unknown, insofar as his novelistic production was concerned, to all but a few before the 1790s. He flirted with exotic and erotic themes in *Les Bijoux indiscrets* (1748, *The Indiscreet Jewels*), but after an early stint in the prison at Vincennes, refrained from publishing virtually all of his substantive fiction. Yet he quietly penned three other wonderfully original novels, all published posthumously, that posterity would treasure: *La Religieuse* (1796, *The Nun*), the wrenching and pathetic story of a recalcitrant young nun struggling to break free; *Le Neveu de Rameau* (1805, *Rameau’s Nephew*), an unabashed exploration of art and contemporary morality based on alternations of description and lively dialogue; and *Jacques le fataliste* (1796, *Jacques the Fatalist*), a whimsical, freewheeling novel dealing partly but not entirely, with chance and destiny, and also incorporating a good deal of highly entertaining dialogue.

Another eccentric and most energetic late-century novelist who has come to be

valued at least by scholars is Nicolas-Edme Rétif de la Bretonne, who combined fiction with systematic inside reporting on everyday life, particularly in some of its most wretched manifestations. *Le Paysan perverti* (1775, *The Corrupted Country-Boy*) and *La Paysanne pervertie* (1784, *The Corrupted Country-Girl*)—pastiche of Marivaux’s title—are his best-known works, alas too infrequently published. Indeed the scholarship since the 1950s has done much to rediscover or rehabilitate quite a few masterpieces of the eighteenth century, such as Claude-Joseph Dorat’s *Les Malheurs de l’inconstance* (1772, *The Fatal Effects of Inconstancy*), a libertine novel into which an anti-libertine twist ultimately inserts itself. This surprising work set the stage in ways previously unsuspected for *Les Liaisons dangereuses*. Among the rediscoveries of this late period also figure *Mémoires d’Anne de Gonzague, princesse palatine* (1786–87, *The Memoirs of Princess Anna Gonzaga*) by Gabriel Sénac de Meilhan, several novels by Isabelle de Charrière—*Lettres de Mistriss Henley* (1784, *Letters of Mistress Henley*), *Caliste ou continuation des “Lettres écrites de Lausanne”* (1787, *Caliste or The Further Letters from Lausanne*), *Lettres neuchâtelaises* (1783, *Neuchâtel Letters*)—and a number of works from the Revolutionary period, notably *L’Émigré* (1797, *The Immigrant*), also by de Meilhan, and *Pauliska ou la perversité moderne* (1798, *Pauliska or The Modern Corruption*) by Antoine Révéroni Saint-Cyr.

Thus a considerable change has taken place since about 1950, not only in the canon of the novel but in the range of the known and recognized works, which has mushroomed in that time. A century ago, *Les Illustres Françaises* was as forgotten as its author, who has by now reclaimed possession not only of that work but of his extensive travel and polemical writings as well. Crébillon, who used to be relegated to the

status of secondary libertine writer—let alone de Sade—was mentioned only furtively; even *Julie* was accorded little serious critical attention in the context of Rousseau's major writings, and no woman novelist in the eighteenth century was considered to demand much more than honorable mention.

How different today! As in English literature, many novelists, including in particular a number of women, have been unearthed since the 1950s and restored to some of the stature and popularity they once enjoyed, giving them in some cases a visibility even enhanced by contemporary disciplinary perspectives such as structural narratology and women's studies (see *STRUCTURALISM, GENDER*). Several useful anthologies have helped to draw attention to a whole range of such works, among them Raymond Trousson's *Romans de femmes du XVIII^e siècle* (1996, *Novels by Women of the Eighteenth Century*) and *Romans libertins du XVIII^e siècle* (1993, *Libertine Novels of the Eighteenth Century*), Patrick Wald Lasowski's two-volume *Romans libertins du XVIII^e siècle* (2000–2005, *Libertine novels of the Eighteenth Century*), not to mention Michel Delon's editions of several of the writers mentioned above, and of the complete works of de Sade (1990–99).

It has been said that a first stage of Romanticism already begins with Rousseau, all the more so since he made the first documented use of the adjective *romantique* (romantic). His influence in this direction owes probably more to *Émile*, his treatise on education, than to his one novel. Romanticism is present full-blown in Bernardin de Saint Pierre's *Paul et Virginie* (1788), an idyllic but initially infantile love story set on a small island in the Indian Ocean, which turns to tragedy when the outside world disrupts its fragile but ageless harmonies. The author, very much a Rousseauist, first creates a world of almost prehistoric inno-

cence, exempt from social vices and therefore filled with fraternal love and other supreme felicities, only to have it dashed by the onset of puberty, which seems to require that Paul and Virginie be separated at least for a while, and Virginie's great aunt summons her to France for some finishing. The vessel that returns her to Ile Maurice is within sight of the port when it sinks in a tempest, dragging Virginie down with it when modesty forbids her to shed her fatally billowing dress. The book's romantic themes and its pathos so suited the mood of the times that Paul and Virginie, like Johann Wolfgang von Goethe's *Die Leiden des jungen Werthers* (1774, *The Sufferings of Young Werther*), became icons throughout Europe of a new esthetic and a new vogue, almost impossible for us to imagine in an age that long preceded the often contrived hype of television and the internet.

Much had been achieved and everything changed by this time, and the novel was well established as a major, perhaps even the dominant, literary genre. Not until the efflorescence of the cinema would that position be seriously challenged.

BIBLIOGRAPHY

- Altman, J. (1982), *Epistolarity*.
 Cohen, M. and C. Dever, eds., (2002), *Literary Channel*.
 Coulet, H. (1967), *Roman jusqu'à la Révolution*.
 Delon, M. and P. Stewart, eds., (2009), *Second Triomphe du roman au XVIII^e siècle*.
 Démoris, R. (1975), *Roman à la première personne*.
 DiPiero, T. (1992), *Dangerous Truths and Criminal Passions*.
 Douthwaite, J.V. (1992), *Exotic Women*.
 Edmiston, W.F. (1991), *Hindsight and Insight*.
 Mylne, V. (1965, 1981), *Eighteenth-Century French Novel*.
 Sgard, J. (2000), *Roman français à l'âge classique*.
 Showalter, E. (1972), *Evolution of the French Novel*.
 Stewart, P. (2001), "The Rise of I," in *Transformations du genre romanesque au XVIII^e*

siècle, ed. E. Showalter, special issue, *Eighteenth-Century Fiction* 13(2–3):163–81.
Stewart, P. (2009), “Traductions et adaptations,” *Studies on Voltaire and the Eighteenth Century* 2: 161–70.

France (19th Century)

MICHAL PELED GINSBURG

A convenient way to describe the nineteenth-century French novel in all its variety is to map it onto the changes in literary movements, from Romanticism to REALISM to NATURALISM and fin-de-siècle Decadence (see DECADENT). This method is useful, however, only as long as one takes it with a grain of salt. Literary movements bring together writers who are often quite different from each other: the realism of Honoré de Balzac is not that of Gustave Flaubert. Authors can “belong” to more than one movement: Stendhal’s pamphlet *Racine et Shakespeare* (1823) is rightly considered a manifesto for the Romantic movement but his novel *Le Rouge et le noir* (1830, *Scarlet and Black*), with its famous mirror analogy—“A novel is a mirror carried along a high road” (chap. 40)—is just as rightly taken as an example of realism. Finally, movements do not succeed each other like the days of the week: Romanticism does not disappear when realism arrives on the scene. And with authors who had long writing careers, we find various sorts of “anachronisms”: Victor Hugo, the leader of the Romantic movement early in the century, publishes his masterpiece *Les Misérables* (1862) after Flaubert’s *Madame Bovary* (1857), the realist novel par excellence. With this cautionary note in mind we can start tracing the changes the French novel undergoes through the century.

Like Romantic poetry, the Romantic novel that characterizes the first decades of the century aimed at representing inner subjectivity, especially that of male subjects

afflicted with a sense of powerlessness that became known as the *mal du siècle*. François-René de Chateaubriand’s *René* (1802), sounding the new note of melancholy disenchantment with “modern” reality, would become the model for the Romantic fiction of the (male) self. Étienne Pivert de Senancour’s *Obermann* (1804), Benjamin Constant’s *Adolphe* (1816), Stendhal’s *Armance* (1827), and Alfred de Musset’s *Confession d’un enfant du siècle* (1836, *The Confession of a Child of the Century*) all dwell on the sense of alienation, disempowerment, and futility that afflicted the sons of the Empire and grandsons of the Revolution. Though the emphasis in each is on individual subjectivity—the heroes present themselves as socially isolated, indeed outcasts—these novels make a claim to represent an entire generation, as Musset’s title clearly indicates. Unable to find a place for themselves in Restoration (1814–30) society ruled by a “gerontocracy” (Musset’s word), these sensitive, introspective, feminized young men cannot take decisive action, their will is paralyzed, and they feel trapped in melancholy reveries for which, nevertheless, they ask (and receive) the reader’s sympathy. Indeed, this impotence is the grounds for their claim to be recognized as geniuses and is thus ultimately, as Waller has argued, a means for empowerment.

The inability to act that characterizes these melancholy, “impotent” heroes is often told through a failed love relation with a woman (who, as often, suffers its consequences). René, traveling far and wide in search of happiness, finally avows the secret source of his unhappiness in his love for a sister whose own incestuous love for him caused her to become a nun. In Constant’s novel, the moody Adolphe can neither break up his relation with the older, beautiful Ellénore nor commit himself to her and she ultimately dies, a victim of his indecision. In Stendhal’s *Armance*, Octave and Armance

repeatedly fail to comprehend each other or reveal their love to each other; their marriage is based on a misunderstanding and leads to Octave's suicide and Armance's taking the veil. Musset's hero, repeatedly betrayed in his love relations, alternates between debauchery and ascetic withdrawal, short-lived happiness and consuming jealousy. With the exception of *Armance*, these are all first-person narratives, so that although fault and unhappiness seem shared by both male and female character, the point of view that directs the reader's response is exclusively that of the male protagonist (see NARRATIVE PERSPECTIVE).

While the novels of the *mal du siècle* redefined models of masculinity, Madame de Staël's *Corinne ou l'Italie* (1807, *Corinne, or Italy*) and George Sand's *Lélia* (1833) and *Indiana* (1832) depicted heroines who resist traditional definitions of GENDER. Staël's novel tells of the ill-fated love of Corinne, an artistic genius, and Oswald Lord Nevil, a Romantic hero afflicted with the *mal du siècle*. Combining two distinct genres—a love story and a travel narrative—and adhering to neither, Staël's novel transgresses both GENRE and gender definitions. The travel through Italy that interrupts and arrests the conventional love plot allows Staël to represent a happy love relation that does not require the heroine to sacrifice herself and her ambitions to the man she loves, while also suggesting that this is possible because in Italy they are not subject to the stifling conventions of their own societies (Waller). Though Corinne ultimately suffers for her love, she is not a victim, and the novel, rather than centering on the man's predicament, allows for Corinne's point of view and focuses on her disillusion with her lover. Sand's *Lélia* too is an exceptional woman whose own version of the *mal du siècle* serves as a critique of women's predicament, since it is the result of her inability to realize her talents. In her relation with her

lover Sténio, *Lélia* resists confining her desires and ambitions to loving a man, and although she dies at the end, it is not because she suffers from love and abandonment.

By the time Sand starts writing, Balzacian realism is already changing the literary scene, and her first, highly successful novel, *Indiana*, participates in this turn. However, already in this novel realism's commitment to the description of the "world as it" is accompanied by a utopian yearning. *Indiana* depicts a woman's suffering in marriage and in love: Indiana's husband, Delmar, is tyrannical; her lover, Raymon, abandons her for a society marriage, leaving her in a state of mental and physical breakdown; her old companion, Ralphe, rescues her only to propose a suicide pact. But in the epilogue to the novel we find Indiana and Ralphe living in isolation on their island and working to free black slaves. The novel is thus divided between the real and the ideal: while acknowledging the impossibility for the lovers to survive within the social world, it also represents them as working toward a better world. Though idealism became marginalized when realism acquired hegemonic status, Sand's later novels continue this utopian, idealist tradition.

The Romantic nostalgia for the past, the success of Scott's HISTORICAL novels, the rise of a new kind of historiography in post-revolutionary France, and the growing popular interest in representations of history (in drama but also in panoramas, dioramas, and wax displays) all contributed to the emergence, in the early part of the century, of the historical novel. Alfred de Vigny's *Cinq-Mars* (1825, *Cinq-Mars; or, A Conspiracy Under Louis XIII*), considered the first historical novel in France, and Prosper Mérimée's *Chronique du règne de Charles IX* (1829, *A Chronicle of the Reign of Charles IX*) were both written with the idea of appealing to a broad, popular reading public. But it is with Hugo's *Notre Dame de Paris*

(1831, *The Hunchback of Notre-Dame*) that the French historical novel achieves distinction. Whereas in *Cinq-Mars* Vigny places real historical figures—Louis XIII (1610–43), his favorite, the handsome Cinq-Mars (1620–42), Richelieu (1585–1642)—and real historical events (Cinq-Mars’s conspiracy against Richelieu) at the forefront, Hugo’s novel centers around fictional characters: the beautiful young gypsy, Esmeralda; Frollo, the archdeacon of the Cathedral who is madly in love with her and who ends up betraying her; the hunchback, bell-ringer Quasimodo, who tries to save her and dies with her; the handsome Captain Phoebus, whom she loves and of whose attempted murder she is accused; and Louis XI, who orders her execution. But whereas in Vigny’s novel the historical character Cinq-Mars is transformed into a nineteenth-century Romantic character—an exceptional figure marked by his feelings and suffering, fighting for liberty—Hugo’s fiction powerfully evokes the historical past, especially through its focus on the Cathedral of Notre Dame, an emblem of medieval culture, whose destruction by modern culture (symbolized by the printing press) Hugo predicts and laments (but which his novel to a great extent helped prevent).

The tradition of the historical novel is carried on in the 1840s and early 1850s by Hugo’s fellow Romantic, Alexandre Dumas (Dumas *père*). Dumas’s highly popular historical novels (many written in collaboration with Auguste Maquet) form three cycles, dealing with the wars of religion and the reign of Henri IV; the time of Cardinal Armand Jean du Plessis de Richelieu, the civil war of 1648–53, and the coming to power of Louis XIV; and the pre-revolutionary and revolutionary period (1787–99). Dumas’s main goal is to instruct and entertain in order to bring history to life. Relying heavily on memoirs and other documents the historical novel

becomes in his hands a dramatic tale of adventure and heroism enlivened by quick, witty dialogue. Though centered mostly on the exploits of fictive characters, it shows these characters in relation to real historical figures and conflicts. Thus in *Les Trois Mousquetaires* (1844, *The Three Musketeers*) the fictive tale of heroic adventures and male friendship depends on the musketeers’ relation to Richelieu, in his historical role.

While the influence of Romanticism lingered long into the century, the 1830s marked the rise of realism. One should note that realism was not original to the nineteenth century; Antoine-François Prévost’s *Manon Lescaut* (1731), with its emphasis on the circulation of money and bodies, was already a realist novel (while also participating in the novel of sentiment typical of the eighteenth century). What changed with Stendhal and especially Balzac was not so much the attention to material conditions as a new insistence on the formative role of social forces.

Le Rouge et le noir can be seen as a turning point from Romanticism to realism. Straddled between the old PICARESQUE tradition and the emerging tradition of the BILDUNGS-ROMAN the novel tells the adventures of Julien Sorel, who starts life as the unloved son of a carpenter and, by the novel’s end, acquires a title and is about to marry the aristocratic Mathilde de la Môle before he spoils his success by shooting at his former lover, Mme. de Renâl, and is condemned to death. The novel participates in the Romantic nostalgia for an idealized past with its attendant sense of paralyzing belatedness: with the fall of the Empire, the only route to success left for the young Julien is the Church, ruled by old men. The “red” past is characterized by passion, naturalness, spontaneity, and immediacy, whereas its opposite, the “black” present, is characterized by vanity, mediation, imitation, and

lack of authenticity. The main characters, alienated from vacuous Restoration society and longing for a glorious past, demonstrate their difference by imitating models from the past: Julien models himself on Napoleon and Mathilde imitates the lover of her medieval ancestor. But the novel demystifies the characters' sense of difference. Julien and Mathilde not only cannot belong to the past they idealize, but they also show themselves, by the very act of imitating this past, as belonging to the present they despise, since the present is characterized precisely by loss of spontaneity and its replacement by mediation and imitation. Thus the novel "realistically" demystifies "Romantic" illusions.

But the demystification of Romantic beliefs goes deeper. Julien is repeatedly described as exceptional by virtue of his ability to do the unexpected; but he is also presented as a simple memory machine. Capable of memorizing anything from the New Testament to the classified advertisements in the newspaper, he can appear as a pious student of theology, an excellent humanist, or a passionate lover. His unpredictability, then, is not a sign of authenticity (his being "red") but rather of his ability to be everything or anything. Julien's reciting from memory is not a sign of "black" hypocrisy. Though his rise in the world owes much to his memorizing texts (often described as either meaningless to him or contradicting his convictions) and reproducing them in front of others, Julien does not determine this operation or its effects but is rather determined by it. Memorizing any text he encounters almost automatically and not knowing whether reciting it on a specific occasion would be useful or not, Julien is not in control of his destiny. Thus both "red" passion and "black" hypocrisy are shown to be predicated on a false idea of an autonomous self, defined by volition and agency. The exemplary male subject Stend-

hal represents is the antipodes of the Romantic one: it is an empty subject who lends itself to the circulation of discourses whose incalculable effects make him appear unpredictable, mysterious, unconventional, and superior.

A younger contemporary of Stendhal, Balzac in 1834, conceived the idea of connecting the various novels he had previously published, as well as future ones, into one whole—*La Comédie humaine* (*The Human Comedy*), which would ultimately consist of about ninety novels and stories. The main device for creating this whole—the reappearance of characters—was introduced in *Le Père Goriot* (1835, *Father Goriot*). In the preface to the first edition of the *Comédie humaine* (1842–48), Balzac defines his goal as producing a novelistic equivalent of the civil registry. His *Comédie humaine* would cover all aspects of Bourbon Restoration society.

Though some of Balzac's novels are better characterized as fantastic, allegorical, or philosophical—e.g., *La Peau de chagrin* (1831, *The Wild Ass's Skin*) and *Louis Lambert* (1832)—and though many critics (e.g., Roland Barthes) have shown that even his realist texts point to a crisis of realist representation, Balzac retains his status as the quintessential realist novelist. His fondness for long detailed descriptions is often seen as his trademark, but his handling of plot and character provides us with the key to his realism. Balzac's plots are possible only at the particular time and place in which they occur; his characters are the product of their social milieu, and their past lives are often shown to have been shaped by historical events. If they are "types," what they typify is not a universal human condition: Goriot, the "Christ of paternity," is not the eternal father; rather, he is a product and expression of the crisis of paternity in post-revolutionary, post-Napoleonic France. Since both history and social milieu are the products

of human actions, however, Balzac's characters are not passively determined by forces outside human control. In Balzac's world—a world where mobility is possible, desirable, indeed necessary—the extent to which characters can profit from sociohistorical circumstances depends on their ability to adapt to these circumstances. As Vautrin puts it in *Père Goriot*, “There are no principles, there are only events”; those who stick to principles limit their “mobility” and cannot use events to their own advantage. Rastignac, the young hero of *Père Goriot*, who comes to Paris to make his fortune, gradually learns the laws of Parisian society; by the novel's end, having shed his last tear of innocence, he is ready to do battle with Parisian society, not by opposing it, but by accepting its laws. In *Illusions perdues* (1837–43, *Lost Illusions*), the beautiful poet Lucien de Rubempré also comes to Paris seeking his fortune; but though he successfully adopts the cynical advice he is given by his fellow journalists, he cannot avoid the lure of stability symbolized by an aristocratic name and is ultimately crushed by his rivals and enemies.

Though we normally think of MELODRAMA as the opposite of realism (since it both exaggerates and simplifies common reality or everyday life), Balzac's realist novels partake of melodrama. What gives his plots this flavor are the rapid reversals of fortune, from splendor to misery (or vice versa): both the end of *Le Père Goriot*, where the changes of so many of the novel's characters all happen in one day, and the fatal week in *Illusions perdues*, where a concatenation of events brings about Lucien's catastrophic fall, exemplify Balzac's melodramatic plotting. Melodrama here is not the result of a stark opposition between good and evil but rather of a coincidental intersection of several independent causal chains. What these plots show is Balzac's understanding that in the modern society he describes, individual

destinies are no longer determined by direct “personal” conflict but rather are overdetermined by a multiplicity of highly mediated, hence “impersonal,” conflicts (Moretti).

The 1830s saw the birth of the *roman feuilleton*—serial publication of novels in newspapers (see SERIALIZATION). The first was Balzac's *La Vieille Fille* (*The Old Maid*), published in 12 installments in 1837. The *roman feuilleton* increased the circulation of newspapers, in some cases dramatically; this in turn caused authors' compensation to increase considerably. Thus the creation of a mass literature and the professionalization of AUTHORSHIP went hand in hand. Though novelists like Balzac, Flaubert, and Sand published serially, the quintessential *feuilletonist* was Dumas. The most popular *roman feuilleton* was Eugène Sue's *Les Mystères de Paris* (1842–43, *The Mysteries of Paris*), the bestseller of the century; Dumas's *Le Comte de Monte-Cristo* (1844–45, *The Count of Monte-Cristo*) was written in direct response to Sue's unprecedented success.

In the second half of the century, Balzac's melodramatic realism was replaced by Flaubert's representation of the ordinary. Probably no other novel has granted more objective reality to the world of banality and mediocrity than *Madame Bovary* (1857), whose heroine, full of Romantic yearnings for passion and happiness, cannot find fulfillment in either marriage or adultery. Emma Bovary's world—her town Yonville, her husband Charles, her lovers, Léon and Rodolphe—is mediocre, narrow, and dull. But no other novel perhaps has as clearly argued that the “poetic” or “Romantic” aspirations of the self caught in this prosaic reality are fundamentally part of that world. Not only are Emma's desires mediated by a whole array of social discourses (chief among them, novels), but they are also predicated on a mistaken belief (that of a society of commodities) in the quasi-magical

capacity of objects to transform the world. If Emma's striving to realize her dreams is thwarted, the reason is not only the narrowness and meanness of opportunity offered by the provinces; it is also because, with all her dreaming, she cannot even imagine a truly other world and mistakes difference in setting and props for otherness. For Emma there is no temporal or spatial "elsewhere" which is substantially different from her own world (see TIME, SPACE). For Flaubert himself the only alternative to the hated prosaic world is the oasis of art. But the aesthetic that Flaubert develops as an alternative to the "real" is not an aesthetic of poetry—of the inspired, elected bard—but of prose, of value gained through labor.

Flaubert's *Education sentimentale* (1869, *Sentimental Education*) is a bildungsroman, a love story, and a historical novel; but all these subgenres are radically undermined in the novel. Frédéric Moreau leaves his home in the provinces for Paris, hoping to acquire the knowledge that will enable him to succeed in society and, become a latter-day Rastignac. But neither he nor his friend/double Deslauriers ever achieve the social success of their model and even their disillusionment at the end of the novel cannot be seen as a sign that they have learned anything. In his relation to Mme. Arnoux, Frédéric plays the role of Johann Wolfgang von Goethe's Werther, the Romantic lover who sustains his desire by never consummating it. Frédéric, however, cannot stick to this role, and during the novel other women—Rosanette, Mme. Dambreuse, Louise Roque—would become objects of desire. But though each of the women ends up offering herself to him, Frédéric's desire is never fulfilled since the love object he possesses is repeatedly not the one desired at that moment. During the entire novel Frédéric remains the passive spectator of the historical events around him (the revolution of Feb. 1848, the insurrection of June

1848, the coup d'état of Dec. 1851). If Frédéric's detachment shows his (and that of the middle CLASS he represents) inability or lack of desire to participate in shaping history, his friend Dussardier's staged suicide during the coup d'état is the sign of the futility of even attempting such action. History, moreover, remains largely irrelevant to the life of the characters: the day the February Revolution breaks out Mme. Arnoux, who promised to give herself to Frédéric, fails to arrive at their rendezvous, but her failure, and the collapse of Frédéric's hopes, cannot be attributed to the revolution, that is, to the forces of history. In registering all these impossibilities, *L'Education sentimentale* brought an end to an important chapter in the history of the French novel, where individualized characters engage in a plot that moves forward through a sequence of decisive events. The failure or futility of action writ large in *L'Education sentimentale* eventually turned the French novel away from action in the social world, that privileged arena of the Realists.

Hugo's *Les Misérables*—a novel that achieved the status of a myth—does not fit easily within the history of the French novel. The long digressions—on the sewer system, convents, slang, the battle of Waterloo—make it unique in the French tradition. While it deals with the central social question of the century, that of the poor, it keeps its distance from realism. Rather than creating ordinary, average characters, Hugo's characters—Bishop Myriel, police agent Javert—are extreme types, showing the limits of certain positions (Christian love, the law) that prove inadequate to solving the social question. These extremes, however, do not represent absolute moral opposites, as in melodrama. Javert does not incarnate evil as opposed to goodness but rather "all the evil of what is good"; nor is Javert opposed to Jean Valjean (the hunter and the hunted), since

both are outcasts of society. On the other hand, in representing the outcasts of society Hugo is far from idealizing them. The life story of Jean Valjean before he meets the Bishop Myriel shows that the misery of the *misérables* is not only the lack of money, food, and work (though it is all these too). It is the lack of identity, of history, of interiority (thoughts, sentiments, desires), i.e., the lack of everything we deem essential in order to be, and be recognized as, human beings.

Barely individuated, the *misérables* are invisible to the social world that surrounds them, and they disappear without leaving a trace. They become visible (and hence characters in a novel) only when they become subject to charity or to the law, although this encounter also prevents them from ever becoming part of society. Justice, whose function is to regulate social relations, means a balance (between crime and punishment, debt and payment); while this balanced economy functions within society, it does not apply to the *misérables* who, remain always outside it. Not only is Valjean's punishment for the failed theft of bread out of proportion to the crime but his "payment" for his crime does not erase it. The yellow passport he has to carry marks him as an ex-convict and a dangerous man (which he was not when he entered prison). The punishment neither erases the crime nor reforms the criminal; rather, the punishment creates the criminal, whom society then continues to punish.

Repentant and reformed by his encounter with the Bishop, Valjean, as M. Madeleine, models himself on Myriel yet can never stop being a *misérable*, i.e., can never become part of society. The episode with Champmathieu, who is erroneously taken for Valjean and condemned, dramatizes his predicament: if he remains silent and lets Champmathieu die in his stead, he commits a despicable act and is indeed a *misérable*

(scoundrel); if he reveals his identity and saves Champmathieu he becomes again Jean Valjean, a *misérable*. Valjean saves Champmathieu, as he has saved Fauchelevent, crushed under the cart, and later saves Marius and Javert. But every moral act entails for him both risking his life and re-becoming a *misérable*. The heroic excess of Valjean should be read, then, not so much as an admirable character trait but as the result and expression of his being outside society, a *misérable*. By the novel's end Valjean is dead, his grave nameless; his heroic sacrifices have not produced a better world. Hugo does not offer a solution to the social problem. And yet the novel by its very existence implies a hope for a better world (Rosa).

The last third of the nineteenth century is dominated by NATURALISM, a movement more homogenous and limited in time than either Romanticism or realism, and fin-de-siècle "decadence" (see DECADENT).

Naturalism is associated primarily with Émile Zola's twenty-novel sequence *Les Rougon-Macquart* (1871–93), which intended to do for the society of the Second Empire (1852–70) what Balzac's *Comédie humaine* had done for that of the Restoration. But whereas Balzac's work moves laterally, giving a view of an entire society at a certain historical moment, Zola traces the fortunes of one family (with two branches, one legitimate, the other illegitimate), from one generation to the next. And while Balzac's characters are shown to be formed by social milieu and history, Zola shows the workings of heredity, i.e., of the laws of nature over which human beings have little or no control. In following the work of these laws in fictional characters, the novel according to Zola can become "experimental," that is, analogous to science.

By tracing the fortunes of the various members of the Rougon-Macquart family, Zola describes different areas and phenom-

ena of French society during the Second Empire: property speculation in Baron Georges-Eugène Haussmann's (1809–91) Paris (1871, *La Curée; The Kill*), working-class poverty and alcoholism (1877, *L'Assommoir; The Dram Shop*), prostitution (1880, *Nana*), life in a bourgeois apartment building (1883, *Pot-Bouille; Pot Luck*), a coalminers' strike in northern France (1885, *Germinal*), and the art world (1885, *L'Oeuvre; The Masterpiece*). Though Zola is not the first novelist to represent working-class and marginal characters (Sue and Hugo had already done that), the manner of their representation changes his novels.

Pushing the anti-idealizing urge already present in realism to a new limit, and relying on theories of heredity which claimed that negative traits become stronger and lead to degeneration when transmitted, Zola represents human beings as ruled by pathological, uncontrollable drives. This particular mode of representation conforms to Zola's "naturalist" program, but it also betrays his great ambivalence toward the belief in progress which marked his period. Thus, for example, *Au Bonheur des dames* (1883, *The Ladies' Paradise*), a novel describing the invention of the department store and the triumph of consumer culture, shows progress to be a ruthless, destructive, and unstoppable force. And *La Bête humaine* (1890, *The Human Beast*) shows that the technological progress (symbolized by the railroads) that defined "modernity" in the nineteenth century brings with it a resurgence, rather than an overcoming, of what is most animal-like in humans.

The Decadent novel shares with Zola's naturalism an ambivalence about the modern world. But the main inspiration for the Decadent movement is Charles Baudelaire. His penchant for the perverse, his commitment to artifice, his opposition to nature, his praise of makeup and masks—that inspire

Joris-Karl Huysmans's *À rebours* (1884, *Against Nature*), the paradigmatic "decadent" novel, and distinguish its hero Des Esseintes from the heroes of Romantic fiction. Though both the Romantic and the Decadent experience boredom and fatigue, the former seeks solace in nature, whereas the latter searches for artificial stimulations (including art) to relieve his ennui and overcome his satiety.

In *À rebours*, Huysmans, following Flaubert, pushes the novel further toward its limits. The novel tells of the last member of a noble family who, disgusted with the materialist, utilitarian society of his time, takes refuge in solitude, and seeks a way to relieve "the monotonous boredom of nature by means of artifice" (letter to Stéphane Mallarmé). The novel has one character, no dialogue, and no action to speak of. Clearly, for Huysmans at least, the novel as the nineteenth century knew it had reached its end.

SEE ALSO: Romance.

BIBLIOGRAPHY

- Barthes, R. (1974), *S/Z*, trans. R. Miller.
 Bersani, L. (1984), *From Balzac to Beckett*.
 Brombert, V. (1984), *Victor Hugo and the Visionary Novel*.
 Brooks, P. (1976), *Melodramatic Imagination*.
 Culler, J. (1974), *Flaubert*.
 Ginsburg, M. (1986), *Flaubert Writing*.
 Ginsburg, M. (1996), *Economies of Change*.
 Girard, R. (1965), *Deceit, Desire, and the Novel*, trans. Y. Freccero.
 Hollier, D., ed. (1989), *New History of French Literature*.
 Lethbridge, R., ed. (1990), *Zola and the Craft of Fiction*.
 Lukács, G. (1964), *Studies in European Realism*.
 Lukács, G. (1978), *Historical Novel*, trans. H. and S. Mitchell.
 Moretti, F. (1983), "Homo Palpitans," in *Signs Taken for Wonders*, trans. S. Fischer, et al.

- Moretti, F. (1987), *Way of the World*.
 Petrey, S. (1988), *Realism and Revolution*.
 Rosa, G., ed. (1985), *Lire 'les Misérables'*.
 Rosa, G., ed. (1995), *Victor Hugo, "Les Misérables."*
 Samuels, M. (2004), *Spectacular Past*.
 Schor, N. (1993), *George Sand and Idealism*.
 Terdiman, R. (1976), *Dialectics of Isolation*.
 Waller, M. (1993), *Male Malady*.

France (20th Century)

CAROLE VIERS-ANDRONICO AND MICHAEL WIEDORN

What most distinguishes the twentieth-century French-language novel from its literary predecessors is its resistance to convenient categorizations or mappings onto literary movements. Rather than movements, a series of currents emerge centering upon philosophical, theoretical, and aesthetic concepts (such as existentialism, absurdism, and the *nouveau roman*), and ranging from the anticolonial novel to *littérature de la banlieue* (literature of the ghetto). This diversity of the novel form raises the question: "Is the novel still the novel?" Indeed, the twentieth-century novel witnessed more manifestos than movements, more diversity than unity in schools of thought, and more heterogeneity than homogeneity of forms and themes.

The twentieth century was a time of crisis for the novel. In the first half of the century the symbolists, then the surrealists, attacked the novel and thereby prompted novelistic innovation (see SURREALISM). In the latter half, the new novelists renewed the attack, and revived the GENRE. Toward the end of the century, competition from popular media, such as cinema, challenged the novel yet again, forcing writers to refurnish its *raison d'être*. These identity crises resulted in self-interrogations and redefinitions, making the novel the most self-conscious of twentieth-century genres.

The French novel was also subject to interrogation and redefinition in its relationship to what came to be called the "Francophone" novel. The term bears some explanation: *Francophone* in the strict sense is an adjective referring to individuals or groups speaking French. There, however, is where the simplicity ends, for the term is often, and problematically, applied exclusively to countries outside the boundaries of France itself (primarily former French colonial possessions) or to individuals perceived to have their origins there.

From the first years of the twentieth century to the first years of the twenty-first, the French-language novel became a veritable garden of forking paths. Some paths of the novel can nevertheless be traced by drawing up a map of convergences and divergences that, though complicated, can prove a useful guide into (if not out of) the labyrinth.

RUIN AND REBIRTH OF THE NOVEL

Long regarded as a lower form of art for its untidy treatment of the banal, as opposed to genres such as poetry that grappled with loftier, abstract matters, the novel at the outset of the twentieth century may be described as the *bête noire* of the arts: a form made up of, and in, ruins. The fin-de-siècle skepticism toward the novel form, which Nathalie Sarraute (1900–99), in her *L'Ère du soupçon* (1956), identifies as inaugurating an "age of suspicion," holds that the novel's principal features—the conventional mechanisms of plotting, the rational unfolding of cause and effect, and contrived character traits, all contained in a loose, unstructured form—give an inauthentic, reductive, and prosaic picture of the world. Moreover, in the wake of nineteenth-century REALISM and NATURALISM, writers found themselves facing a dilemma: if the

traditional novel's objective was, as the famous mirror analogy in Stendhal's *Le Rouge et le noir* (1830, *Scarlet and Black*) claimed, to serve as "a mirror carried along a high road" (chap. 40) in the pursuit of verisimilitude, then not only was it incompatible with the concerns of the modern world, it also did not merit the distinction of high art (see DECORUM). Early twentieth-century writers thus chose to shatter the mirror and experiment with its shards.

Both Marcel Proust and André Gide exerted the greatest influence over the French novel in the twentieth century, seeking to redeem its faults and restore its place among the arts. Gide, who was until his death a politically committed (*engagé*) writer, noted in his journal that for the novel to survive it would need to shed its ancestral skin and aspire to higher aesthetic principles. It could no longer be a mirror carried along a high road; rather, it would need to reflect a set of internal truths expressed by the structural economy of a poem, wherein each of the work's parts proves the truth of the others (see FORMALISM).

Given his own skepticism as to the genre's viability, however, Gide refused to apply the term "novel" to several works that were subsequently considered part of his novelistic oeuvre. He called both *L'Immoraliste* (1902, *The Immoralist*) and *La Porte étroite* (1909, *Strait is the Gate*) *récits* (a brief text with a simple narrative line) and *Les Caves du Vatican* (1914, *The Vatican Cellars*) a *sotie* (a dramatic genre dating from the medieval period referring to a short, satirical play). It was only with *Les Faux-monnayeurs* (1925, *The Counterfeiters*) that Gide felt he had succeeded in producing what he envisaged for the genre, as the text breaks nearly every rule of the traditional novel. *Les Faux-monnayeurs* tells a multiplicity of stories from as many perspectives. Gide had previously coined the term *mise en abyme* to refer to patterns of narrative mirroring

within the novel, and he applied this technique to *Les Faux-monnayeurs*: Édouard, one of the novel's principal characters, is in the process of writing a novel of the same title, whose protagonist is also a novelist (see METAFICTION). In Gide's hands, the novel attains a self-reflexivity and indeterminacy that show a world reliant on the contingent, subjective, and fragmentary as opposed to any notion of the objective and comprehensive. Gide's truth is encapsulated in the *mise-en-abyme* structure: the novel can only reflect its own counterfeit image(s).

While Gide was busily working toward a new form for the novel, Proust was investigating the potential of the form to reconcile truth with subjectivity. Proust's seven-volume masterpiece, *À la recherche du temps perdu* (1913–27, *Remembrance of Things Past*), changed the landscape of the novel by using its form as a forum for PHILOSOPHICAL reflections on the nature of MEMORY, TIME, and art and their relation to truth. Against positivism, rational thought, and causality, Proust reveals the contingent and associative nature of human experience with respect to memory. Told primarily from the first-person perspective of Marcel (whose name has prompted autobiographical readings of the novel), *À la recherche du temps perdu* relates the narrator's experiences through time. This experience is nonlinear; it is a stream of moments and events that flow together and where past and present converge. It is also contingent on associations sparked by what Proust called "involuntary memory." One of the novel's most famous episodes occurs early in the first volume, when, upon tasting a *petite madeleine*, a small cake, Marcel's childhood memories rise up into the present. Proust's masterpiece has been understood as the translation of memory into artistic creation. For Proust, artistic creation is a spiritual journey toward a higher truth; in fact, just as the narrator redeems a wasted life through

art (he writes the novel the reader has been reading), he describes the form the novel takes as a cathedral. Proust's greatest contribution was to elevate the novel beyond storytelling, making it tell of the translation into art of the highly subjective, internal world through the associative power of memory.

Although Sigmund Freud's (1856–1939) theories of the unconscious did not reach the French-speaking public until the 1920s, Proust's investigations into memory bear striking similarities to his notions of free association and the workings of the unconscious on the conscious mind (see PSYCHOANALYTIC). Freud's work on the unconscious was, however, directly co-opted by André Breton, the founder of surrealism. Breton was perhaps the most vocal opponent of the genre, fiercely attacking the novel in the first *Manifeste du surréalisme* (1924, *The Surrealist Manifesto*) as the basest form of artistic expression, one that neglected what he saw as art's impetus: to investigate the imagination through direct access to the unconscious. While Breton discouraged his fellow surrealists from playing at novel-making, he himself dabbled in the genre with *Nadja* (1928). The novel recounts Breton's encounters with a woman he meets in a Parisian street. She appears to him as the spirit of surrealism because her experience of the world centers on an unstable connection to reality. Rather than employing conventional plotting devices, Breton's portrait of Nadja takes the form of a clinical case study complemented by photographs (of people, places, and Nadja's symbolic drawings) that replace narrative description; favoring chance over the logical constraints of plot, Breton suggests an alternative conception of the real (see PHOTOGRAPHY).

Raymond Queneau, who frequented the surrealists until 1929, recognized that the novel could explore the more abstract aspects of the human condition because it had

no direct commerce with the real. Since the novel was admittedly an arbitrary construct, it could be constructed with the rigor of verse. In his early work, he sought (successfully) to make the novel into a kind of poem. His first novel, *Le Chiendent* (1933, *The Bark-Tree*), is one such *roman-poème*: it is structured with the mathematical precision of the sonnet: the text has a distinct rhythm, and its characters and scenes rhyme internally.

Queneau was also interested in revolutionizing the language of the novel, providing it with a vocabulary similar to everyday speech (see DIALECT). He was disappointed when Louis-Ferdinand Céline published *Voyage au bout de la nuit* (1932, *Journey to the End of the Night*) before his *Chiendent*, as Céline's novel caused a stir with its irreverent use of the French language. Céline's style, however, differs from Queneau's. Céline described his own style as resembling lacework: he employs the ellipsis frequently, with his prose appearing to hang together by patterned threads. Early readers saw this as an anti-literary jumble of words. Céline's point, however, involved disorienting the reader, and he succeeded both in terms of style and content. Early critics were at a loss to determine whether his work constituted a war novel, a colonial novel, a *BILDUNGSROMAN*, or a journal. As WWII approached, the novel's rebirth saw the genre transformed into a self-conscious entity, one capable of mirroring subjectivities and fragmentary perspectives as (un)real as the incomprehensible and relativistic world surrounding them.

THE NEW NOVEL

From the 1950s on the *nouveaux romanciers* (new novelists) returned to the attack on the "traditional" novel by participating in Gide and Proust's tradition of wrenching the novel free from its assumed relationship

with reality. The new novel is less a movement than a collection of writers experimenting; Roland Barthes, one of its greatest proponents, preferred the term “sociological phenomenon” to describe it. Other critics have identified it in terms ranging from *école de l'objet* (school of objects) to the *école du regard* (school of the gaze). While novelists such as Sarraute, Michel Butor, Marguerite Duras, Georges Perec, and Jean Echenoz have been said to participate in this “phenomenon,” Alain Robbe-Grillet was undoubtedly its driving force. His collection of essays, *Pour un nouveau roman* (1963, *Toward a New Novel*), provides an overview of the issues at stake in shaking off nineteenth-century realism and promoting a new kind of realism, one that acknowledges the vast gap in the relationship between people and things. In Robbe-Grillet's *La Jalousie* (1957, *Jealousy*), for example, the narrative questions traditional narrative forms through the presence of an absent, third-person narrator, a jealous husband observing objects through a *jalousie*, a slatted blind.

In the new novel, conventional narrative structures and temporality also require reconsideration, since they rely on subjective experience. Both Butor and Duras question the ability of chronological, linear structures to give form or meaning to human experience. In Butor's *L'emploi du temps* (1956, *Passing Time*), a young man named Jacques Revel writes a diary detailing his daily routine. Full of arbitrary gaps, the diary illustrates Revel's subjective experience of time. Duras's most celebrated works, such as *Moderato Cantabile* (1958) and the autofictional novel *L'Amant* (1984, *The Lover*), attempt to represent unspeakable images and memories through an austere and visually oriented language.

Other traits that characterize the new novel include the dissolution of central

characters (who may lack names, faces, or even important roles), nonlinearity, *mise-en-abyme* structures, and a concern with the creative act (Jean Ricardou calls the genre “no longer the writing of an adventure but the adventure of writing”), preoccupation with perception and description, and formal experimentation. The obsession with description has led some to read the genre as preoccupied with consumer society. In fact, the first novel by Perec, *Les Choses: Une histoire des années soixante* (1965, *Things: A Story of the Sixties*), received instant acclaim for its brilliant description of the gap between people and things, contradicting marketing strategies that promise freedom and happiness in contemporary consumer society.

REMEMBRANCE OF FORMS LOST AND FOUND

Despite the critical success of the new novel, the traditional novel continued to find new forms of expression throughout the century. Marguerite Yourcenar reinvented and enriched the HISTORICAL novel with her *Mémoires d'Hadrien* (1951, *Memoirs of Hadrian*), the fruit of years of research on the reconstruction of ancient Rome under the emperor Hadrian. While Yourcenar's historical novel expressed a sense of redemption and hope through art, Céline's later novels unsettled the genre. *D'un château l'autre* (1957, *Castle to Castle*), the first in his final trilogy, is perhaps one of the most autobiographical of his recognizably autobiographical works (see LIFE WRITING). *Château* recounts Céline's flight through Germany in the wake of accusations of collaboration, during the liberation of France at the end of WWII. The text's fragmented narrative suggests that there is a fundamental disorder in history. The chaotic fallout of the war is also imminently

evident in the breakdown of language and meaning in the trilogy *Molloy* (1951), *Malone Meurt* (1951, *Malone Dies*), and *L'Innommable* (1953, *The Unnamable*) by Samuel Beckett.

Set in the aftermath of the war, *Rue des boutiques obscures* (1978, *Missing Person*) by Patrick Modiano rethinks the genre of the DETECTIVE novel, as its amnesiac protagonist travels in search of his past. While *Le Procès-verbal* (1963, *The Interrogation*) garnered acclaim, *Désert* (1980, *Desert*) was the breakthrough novel for Jean-Marie Gustave Le Clézio. Like many of the novels that were to follow, and as the peripatetic author himself was wont to do, *Désert* sought the elsewhere. It follows the impoverished young girl Lalla from a lavishly depicted North Africa to France. While at first glance a travel narrative, it is also a meditation on literary form, asking what it might mean to be, like those whom Lalla has left behind, a people without an EPIC.

The *Ouvroir de Littérature Potentielle* ("workshop of potential literature," OULIPO) is, despite its series of manifestos, neither a movement nor a school but a writers' workshop. Founded by Queneau and the mathematician François Le Lionnais (1901–84) in 1960, it explores the literary potential of formal devices from the past (what the group terms the analytic aspect of its research) and seeks the creation of new forms (the synthetic aspect). Oulipian texts are constructed based on a series of constraints upon form and content, such as Queneau's *Les Fleurs bleues* (1965, *The Blue Flowers*), Jacques Roubaud's *Hortense* detective novel trilogy, and Anne Garréta's *Sphinx* (1986), which exploits French grammar to obscure characters' GENDERS.

Perec's *La Vie mode d'emploi* (1978, *Life: A User's Manual*) has been hailed an Oulipian masterpiece, and it is arguably the most influential French novel from the second half of the twentieth century. The text,

which Perec filed under the genre of *romans* (novels), contains a multiplicity of novels and characters and is perhaps the most rigorously structured novel in the history of the genre. Artistic representation being one of the novel's many thematic concerns, Perec attempts to short-circuit narrative time by writing a kind of painting of a Parisian apartment building. While the artists who inhabit the building fail to accomplish their artistic goals, Perec's meticulous descriptions of rooms and objects lead to narrative descriptions about the people who lived in and possessed them. A tour de force of INTERTEXTUALITY and self-reflexivity, this novel also suggests that the arbitrary systems by which human beings order their lives reflect a preoccupation with filling empty spaces.

In 1977 Michel Tournier proclaimed his intent to make changes to the novel, not in its form but in its content. *Vendredi ou les limbes du Pacifique* (1967, *Friday*), his first novel, had used a rewriting of the story of Robinson Crusoe to show the folly of the Western world's mania for order and hierarchy. In the text, the shipwrecked protagonist seeks—disastrously—to organize and chronicle both his tiny island and the life of Friday, another lost soul whom he has claimed as his servant. Having once planned to teach philosophy, Tournier's subversions of the novel form's content owe much to the latter discipline as well. Throughout his oeuvre, Tournier's novels are guided by his desire to imbue the novel with another literary discourse: myth (see MYTHOLOGY).

POPULAR AND POSTMODERN NOVELS

Many of the novelists who began their careers in the latter part of the twentieth century bear the influence of the new novel and of OULIPO. Both Echenoz and Jean-Phi-

lippe Toussaint, for example, have often been called inheritors of the new novel, but their major contribution to the novel may be a redefined postmodern consciousness, one which treats the subjects and objects under its gaze with profound irony. Additionally, these writers are aware of the novel's precarious position in relation to an increasingly visually oriented public. In his first novel, *Le méridien de Greenwich* (1979, *The Greenwich Meridian*), Echenoz begins and ends with an attempt to re-create in words the panning of a movie camera. Many of Echenoz's works, such as *Greenwich* and *L'équipée malaise* (1986, *Double Jeopardy*), play with the tenets of the conventional detective novel. They foreground absurd and inept plots that ultimately collapse, suggesting that the characters' need to assert control over their experiences only produces more chaos.

Toussaint's characters also grapple with insoluble, albeit smaller, dilemmas of their own creation. Toussaint's novels have earned a reputation for their minimalism and the immobility of modern life that they exhibit. The narrator of his *L'appareil photo* (1989, *Camera*), for example, opens the novel by informing the reader that in his life "ordinarily nothing happened." In *La Télévision* (1997, *Television*), a university professor vows, and fails, to abstain from watching television while on sabbatical to write a monograph on Titian.

Michel Houellebecq is known for being a *provocateur* as much as for producing popular fiction. His works treat contemporary and often inflammatory themes, and they are marked by graphic sexuality. His best-known work, *Les particules élémentaires* (1998, *Atomised*) undertakes a flirtation with the genre of SCIENCE FICTION as it assails 1960s sexual culture and its aftermath. *Plateforme* (1999, *Platform*) launched a suite of novels critiquing capitalism and tourist culture; more controversially, it earned the

author accusations of Islamophobia (to add to earlier allegations of misogyny and sexism). With a style known for being readable, and at times overly so, Houellebecq left behind the lofty intellectualism of the *nouveau roman* and reached out to a larger public.

EXPLORING IDENTITIES AND IDEOLOGIES

The novelists associated with existentialism, notably Jean-Paul Sartre and Simone de Beauvoir, believed the novel, and literature in general, capable of effecting social change and encouraged a *littérature engagée* (committed literature). Rather than reflecting an image for a passive readership, they expected society to hold a mirror to itself and to change what it saw. Sartre's protagonist in *La Nausée* (1938, *Nausea*), Antoine Roquetin, is a man trapped in his own consciousness and bound by angst. After failing to produce a biography, Roquetin thinks of writing a book that would make its readers feel as ashamed of their inadequate lives as he does. Unlike Proust's narrator, Roquetin is a would-be writer who fails to redeem a wasted life through art.

De Beauvoir is best known for her *Le Deuxième sexe* (1949, *The Second Sex*), a brilliant philosophical treatise on the lived experience of womanhood, and her novels also merit serious attention. *Le sang des autres* (1945, *The Blood of Others*) in particular incarnates the existentialist concern with the possibility of changing the world. Set during the Nazi occupation, the novel highlights the imperative and the danger of taking action. The novel's characters face a dilemma: if they take up arms against the Nazis, the latter's reprisals will kill innocents; if they do not fight with the Resistance, they abet the Nazi occupation. Far more than a philosophical quandary in

novel form, the text breathes life into the problem of acting upon our world.

While Algerian-born French novelist Albert Camus has often been identified as an existentialist writer, he saw himself as an absurdist, one who views the world as inherently meaningless, amoral, and unjust. The indiscriminate nature of the brutal murder of a young Arab man by the protagonist Meursault of *L'Étranger* (1942, *The Outsider*) is a reflection of the absurd. The first part of the novel shows Meursault reacting, or failing to react, to his mother's death with the same peculiar quietness and passivity that he displays during his trial for the murder in the second part. Camus depicts Meursault, a French colonist in Algeria, as a man lacking in moral awareness. Awaiting the execution of his sentence, he is comforted by the thought that he is like the world: gently indifferent.

Édouard Glissant, another novelist from a former French colony profoundly concerned with identity, has made the prophetic declaration that "the entire world is being creolized [and] 'archipelagoized'" (in Chandra): i.e., the world is coming to resemble the Caribbean decentered with all nations and identities increasingly in contact with all others, in a process of auspicious *créolisation* (cultural blending). The French nation-state has, according to Glissant, gravely mishandled this contemporary reality. Since the turn of the twenty-first century, the plight of disenfranchised youth in France, often of immigrant backgrounds, has come under the spotlight. *Kiffe-kiffe demain* (2004, *Just Like Tomorrow*) is a depiction of life as a North African immigrant in a poor suburb by Faïza Guène. New novelistic genres have appeared since the *littérature Beur* (literature of the Maghreb immigration) of the 1980s—cf. *Le thé au harem d'Archy Ahmed* (1983, *Tea in the Harem*) by Mehdi Charef—such as the popular *littérature de la banlieue*, of which Guène is an example.

THE FRANCOPHONE NOVEL: ONE AND/OR MANY

For Glissant, the mirror in which the West could once gaze upon itself in transparency has become opaque with the silt deposited by the non-Western other. This silt, he continues, is fertile yet often unexplored. Glissant's birthplace of Martinique epitomizes the ever-increasing influence of artists from French-speaking regions outside of France. Often writing in the long shadow of the poet and statesman Aimé Césaire (1913–2008), one of the founders of the international *Négritude* movement, novelists of the Francophone Caribbean islands of Guadeloupe and Martinique emphasized survival and resistance—Simone Schwarz-Bart, *Pluie et vent sur Télumée Miracle* (1979, *The Bridge of Beyond*)—or experimented with *Créolité* and later *Créolisation*—Maryse Condé, *Traversée la mangrove* (1989, *Crossing the Mangrove*)—movements that proclaimed a mixed and multifarious Caribbean reality. Long before them, the Haitian novelists Jean Price-Mars—*Ainsi parla l'oncle* (1928, *So Spoke the Uncle*)—and Jacques Roumain—*Gouverneurs de la rosée* (1944, *Masters of the Dew*)—worked in the *indigénisme* genre, seeking to capture a Haitian peasant reality.

It was another Caribbean author who was to anticipate the anticolonial novel: René Maran, stationed as a colonial administrator in what is now the Central African Republic, made the insults and injuries of colonialism sufficiently clear in his *Batouala: un roman nègre* (1921, *Batouala*) for the book to be banned and the author to be relieved of his job. Indeed, one way among many of grouping together the profusion of Francophone African texts from the 1950s on is through the rubric of critique, though not always realist. Despite the diversity of the Francophone African countries, a canonical consensus of sorts has emerged.

Early Sub-Saharan African novels, such as the work of Camara Laye, have become classics in their own right. *L'Aventure ambiguë* (1961, *Ambiguous Adventure*), by Cheikh Hamidou Kane, is a metaphysical meditation on a young Senegalese boy's violent encounter with the encroaching West, while *Le pauvre Christ de Bomba* (1956, *The Poor Christ of Bomba*), by the Cameroonian Mongo Beti, is a tragicomic novel presented as the diary of an acolyte who follows French priests in their decidedly unholy Christianizing enterprise. The EPISTOLARY, anti-patriarchal novel *Une Si Longue Lettre* (1979, *So Long a Letter*) remains quite popular and is the most widely taught novel by a Francophone African woman writer, Mariama Bâ. Authors of the post-independence period such as Sony Labou-Tansi, whose works, including *La vie et demie* (1979, *Life and a Half*), have been problematically associated with MAGICAL REALISM, often took great risks with their critiques of their oppressive governments.

African immigration to Europe spawned a series of texts illustrating the punishing world of the immigrant, largely unknown to the French public. *Le Baobab fou* (1982, *The Abandoned Baobab*) by Ken Bugul is a shocking tale of sex, drugs, and immigration, while Bessora concentrated on absurdly comical immigration rules in her *53cm* (1999). Driss Chraïbi's *Les boucs* (1955, *Butts*) was the first novel to bring to light the hardships endured by North African immigrants to France. Another Moroccan, Tahar Ben-Jelloun, also chose to write on the margins of society with the transgendered protagonist of *L'enfant de sable* (1985, *The Sand Child*) and its sequel *La nuit sacrée* (1987, *The Sacred Night*). Authors such as the Algerian Kateb Yacine undertook radical experimentations with fragmented narrative forms. Assia Djebar, an Algerian-born feminist, is recognized for her structurally innovative novels, such as *L'amour, la fan-*

tasia (1985, *Fantasia: An Algerian Cavalcade*), which deconstruct and subsequently rewrite colonial constructions of history.

DETERRITORIALIZING THE "FRENCH" "NOVEL"

For better or for worse, Francophone authors have often been obliged to explain their choice of French as a language of expression. Many have deterritorialized (in the Deleuzean sense) French: In Quebec, Réjean Ducharme reformulated French grammar in *L'Avalée des avalées* (1966, *The Swallower Swallowed*). In the cases of numerous Caribbean and Mauritian authors, the language has come to be merged with Creoles. Alternatively, the novel *Soleils des indépendances* (1968, *The Suns of Independence*) by Ahmadou Kourouma sought to speak Malinke (a West African language) in French. It can be said that many Francophone authors are themselves deterritorialized, as attributing national identities to authors who have lived transnational lives proves problematic. Examples, such as Dany Laferrière, born in Haiti and living between Montreal and Miami, abound.

French-language novelists are a diverse group both within and without the Hexagon, or the country of France, and only a small sample have been surveyed here. Moreover, the French nation-state may no longer serve as a center of gravity for the French-language novel. This latest crisis was epitomized in 2007 by the manifesto signed by forty-four authors calling for the demise of Francophone literature, proclaiming instead a "World Literature in French." What new forms will the French-language novel (broadly speaking) take after more than a century of crises? All paths, it would seem, follow the argument made by Milan Kundera, a French citizen since 1981, in his *L'Art du roman* (1986, *The Art of the Novel*): the

spirit of the novel lies in its “wisdom of uncertainty.”

SEE ALSO: Class, Comparativism, National Literature, Race Theory, Structuralism/Poststructuralism.

BIBLIOGRAPHY

- Bowie, M. (2000), *Proust among the Stars*.
 Chanda, Tirthankar (2000), “The Cultural ‘Creolization’ of the World; Interview with Edouard Glissant,” *Label France* 38.
 Corcoran, P. (2007), *Cambridge Introduction to Francophone Literature*.
 Forsdick, C. and D. Murphy, eds. (2003), *Francophone Postcolonial Studies*.
 Girard, R. (1965), *Deceit, Desire, and the Novel*, trans. Y. Freccero.

- Guerlac, S. (1997), *Literary Polemics*.
 Hollier, D., ed. (1989), *New History of French Literature*.
 Jefferson, A. (1980), *Nouveau Roman and the Poetics of Fiction*.
 Lucey, M. (2006), *Never Say I*.
 Mathews, J.H. (1966), *Surrealism and the Novel*.
 Motte, W., ed. (1986), *OULIPO*.
 Motte, W., ed. (2008), *Fiction Now*.
 Offord, M., L. Ibnlfassi, N. Hitchcott, et al., eds. (2001), *Francophone Literatures*.
 Unwin, T., ed. (1997), *Cambridge Companion to the French Novel*.

Francophone Novel see France (20th Century)

Free Indirect Discourse see Discourse

Freud, Sigmund see Psychoanalytic Theory

Frye, Northrup see Mythology

G

Gender Theory

ROSANNE KENNEDY

Gender became a significant critical concept in the wake of developments in FEMINIST theory in the early 1980s. In common usage, *gender* refers to socially constructed differences between men and women, while *sex* refers to biological differences. Feminist theorists have challenged this normative sex/gender distinction, arguing that sex, as well as gender, is culturally constructed. Informed by and contributing to developments in feminist theory, feminist literary critics have explored how gendered differences, meanings, and identities are produced in the novel and related discourses, and how subjects are positioned by those discourses. Although feminist critics initially used the concept of gender to refer exclusively to women, by the late 1980s “gender” was expanded to encompass masculinities and gay and lesbian identities, and SEXUALITY became an increasingly important concept. Today gender, sex, and sexuality are contested concepts in and between the fields of feminist theory, QUEER theory, and masculinity studies.

Etymologically, there is a close relationship between *gender* and *genre*, both terms of classification that derive from the medieval French *gendre*. The novel, a capacious and elastic GENRE, has been a vital representational form for articulating, naturalizing,

and challenging understandings of gender and gender relations. RHETORICS of gender, as well as gendered rhetorics of sentimentality, nation, and public and private spheres, have all been present in the novel since its earliest emergence (Johnson, Moglen). It was only with the development of gender as an analytic frame, however, that the cultural and ideological work of gender, and the ways in which the novel naturalized or disrupted gender norms, could be analyzed (see IDEOLOGY). A gender analysis has provided critics with a framework for exploring the work of the novel in producing relations between men and women, public and private spheres, and reason and emotion as gendered relationships of power (Poovey, Armstrong). It has initiated new understandings of older genres such as the BILDUNGSROMAN and of modernist transformations of the novel (Ardis, Pykett; see MODERNISM). It has generated new accounts of the rise of the novel and of the position of male and female writers in relation to the commercial world of PUBLISHING (Johnson, Moglen, Perry). It has enabled critics to generate fresh insights into the social and political contexts in which novels were and are produced and consumed, and has contributed to new perceptions of the novel in cultural history. Critics have explored the ways in which gender coordinates with other categories such as RACE, sexuality, CLASS, nation, and empire, as a means of exploring the role of

the novel in articulating, for instance, colonial relations as fundamentally gendered (Henderson, McClintock). Rather than focus exclusively on novels, critics increasingly situate the novel as a significant representational form within broader field of cultural representations. The literature on gender and the novel is extensive; here it is only possible to delineate some of the main currents in the British and American tradition.

THE LONG 1980s: FROM SEXUAL DIFFERENCE TO GENDER TROUBLE

Building on and departing from the pioneering work of “seventies feminism” (Davidson), feminist theorists of the 1980s transformed the theory of gender. In the 1970s feminist critics worked within the prevailing conceptual framework that concentrated on patriarchy and women’s oppression. Guided by the concepts of women and female experience, they recovered women’s neglected novels and explored how women writers expressed their condition as “the second sex” under patriarchy. By the early 1980s, the concept of sexual difference was being debated on both sides of the Atlantic but had different meanings in different cultural traditions. American feminists tended to take sexual difference—the difference of woman from man—for granted and treated it as interchangeable with gender. French feminists, coming from a Lacanian PSYCHOANALYTIC tradition, regarded sexual difference as produced by entry into the symbolic realm of language. French feminists explored the meanings of *woman* in the writings of male philosophers and psychoanalysts and developed the concept of *écriture féminine*—a feminine writing that could, paradoxically, be expressed by male as well as female authors. By the mid-1980s, many critics challenged the assumption of sexual differ-

ence as given, arguing that gender must be understood as socially constructed. British feminists, informed by MARXIST as well as psychoanalytic approaches, argued that “the social construction of gender takes place through the workings of ideology” (A. Jones, 1985, *Making a Difference*, 2). Thus, feminist critics were urged to analyze the text as “a signifying process which inscribes ideology” (25) rather than assume that literature transparently reflects a pre-given, objective reality.

While French, British, and American feminists developed apparently irreconcilable understandings of sexual difference, they typically approached the topic in isolation from race, class, or sexuality. In the early 1980s, black feminists and women of color compellingly argued that “women” usually meant “white middle-class women” (Hull, Bell-Scott and Smith; Henderson). In pioneering works such as *All the Women are White, All the Men are Black, But Some of Us are Brave*, black feminists argued that gender could not be studied in isolation from race, class, and sexuality. They urged an exploration of “the experience of supposedly ‘ordinary’ Black women,” who were usually absent from both (white) women’s and black (men’s) histories, as crucial for developing an analytical framework that integrated gender, race and other markers of differences (Hull, Bell-Scott and Smith, xxi). Revising Teresa de Lauretis’s account of gendered subjectivities (1987, *Technologies of Gender*), Mae Henderson proposed “a model that is intended not only to address ‘a subject engendered in the experiencing of race,’ but also . . . a subject ‘racialized’ in the experiencing of gender” (19). Feminists of color—Black, Chicana, Latina, and Asian American—recommended that white feminists pay attention to the differences and specificities of race, including whiteness itself. Developments in the 1990s demonstrated that, critiques of the category of woman as exclusionary have proven to be

more enduring for theorizations of gender and (hetero)sexuality than the theoretical debates about difference that commanded so much attention in the 1980s.

The long 1980s came to an end with the publication of Judith Butler's *Gender Trouble* (1990). She argued that the category of woman, and the assumption of a fundamental male/female difference, reproduced heterosexuality as normative. Drawing on Michel Foucault's poststructuralist analysis of sexuality, she maintained that sex as well as gender should be understood as discursively constructed (7, see *STRUCTURALISM*). Discourses that articulate the desire for maternity as a "natural instinct," for instance, signify reproduction as a defining feature of what it means to be "a woman." She advocated that feminists "trouble gender" by performing it in ways that did not articulate neatly with the appropriate sex, thereby disrupting the effect of a natural relationship between sex and gender. Butler's analysis of the "performativity of gender," together with developments in queer theory by Eve Kosofsky Sedgwick and others, opened the way for studies of female masculinity, male feminism, cross dressing, and transgenering in the novel.

1980s AND 1990s: GENDER, RACE, AND CLASS IN THE NOVEL

In line with developments in feminist theory in the 1980s and 1990s, feminist literary critics became more explicit about the theoretical basis of their practice. They abandoned the view of the novel as a representation of reality and instead explored the novel as a discourse that produced differences of gender, sexuality, race, and class. In her study of ideologies of gender in nineteenth-century discourse, Mary Poovey argued that sexual difference was articulated in the novel as the primary difference that structured social life and through which differences of class, race, and

nationality were articulated. She questioned the future of "sexual difference" as a foundational category within feminism, noting that "it reproduces the problems it claims to subvert" (201). By the 1990s, critics regularly brought race, class, and gender together to develop nuanced analytic frameworks for studying the cultural work of novels. In her study of the fictions of British imperialism, Ann McClintock proposed that race, gender, and class be understood as "articulated categories" which "come into existence in and through relation to each other" (4–5).

While gender was initially conflated with the categories of "woman" and "femininity," leaving "man" and "masculinity" as the unmarked norms, by the late 1980s, critics began to turn their attention to masculinity and to the relations of masculinity and femininity with heterosexuality and homosexuality. Separating masculinity from totalizing assumptions about male power and patriarchy enabled masculinities to come into view as they were constructed through cultural representations, including the novel. Male feminist and queer critics analyzed constructions of heterosexual, homosexual, and queer masculinities in relation to categories such as femininity, ethnicity, and national identity (Sedgwick, Boone and Caddon, Eng). During the same period, the impact of cultural studies on literary studies was becoming increasingly visible. Feminist critics who had begun their careers writing about women's literature were increasingly exploring gender across a range of cultural forms including, but not limited to, the novel. In her study of black masculinities, Hazel Carby observes that "[i]deologies of masculinity always exist in a dialectical relation to other ideologies" such as race and nation. She considers "the cultural and political complexity of particular inscriptions, performances, and enactments of black masculinity on a variety of stages" (Carby, 2). David Eng draws on psychoanalysis and

critical theories of race to explore representations and ideologies of Asian American masculinities in fictional and cultural texts.

GENDER AND GENRE: FROM THE EIGHTEENTH CENTURY TO MODERNISM

Some of the most significant studies of gender and the novel argue that the novel, a representational form which at times wielded considerable cultural authority, played a key role in developing gendered subjectivities in given historical periods. Nancy Armstrong, in her Foucauldian analysis of nineteenth-century DOMESTIC fiction, contends that novels for, by, and about women produced gendered subjectivities and spheres of power that helped to cement the identity and cultural authority of the British middle class. A gendered analysis has also been particularly productive for reconsidering the novel in the eighteenth century, a period during which gender roles and identities, politics, and the form of the novel were all in flux. Helene Moglen links the emergence of the novel as a genre with the need to manage the emergent sex/gender system, which she views as the novel's core concern. Focusing on novelistic form, she contends that the two dominant strands—the fantastic and the realistic—coexisted within “a single, evolving form” as the “means by which the novel, from the eighteenth century on, sought to manage the strains and contradictions that the sex-gender system imposed on individual subjectivities” (1, see ROMANCE, REALISM). In her study of women writers of the 1790s, Claudia Johnson argues that the period was characterized by a “crisis of gender.” Sentimentality invaded both political and domestic domains and was closely linked with practices of gender. When traits that had been marked as feminine were recoded as masculine, femininity became unstable, and gender itself was

open to question (Johnson). Ruth Perry, in an interdisciplinary analysis of kinship in the eighteenth-century novel, argues that the novel helped individuals manage and respond to changing family roles and responsibilities. She explores the effects “the great disinheritance” of the daughter had on sibling relations and on father/daughter relations.

The modernist novel, a site for experimenting with the form and representation of gender, has provided a particularly fertile ground for exploring relations between gender and genre (see MODERNISM). The period 1880–1930 was one of enormous social and political transformation and of significant innovation in the arts and literature. The “New Woman,” associated with the suffragette movement, was a prominent figure at the turn of the twentieth century. Ann Ardis argues that New Women novelists self-consciously sought to break with the conventions of the nineteenth-century novel and experimented with NARRATIVE STRUCTURE, plot, character, and language (see LINGUISTICS). Yet, their novels have been forgotten; thus, the modernist novel emerges as if it had no female forebears. Feminist critics used a gender analysis to challenge the exclusion of women writers from understandings of modernism. They revitalized the study of Virginia Woolf and other female modernists, exploring women's self-conscious experiments with gender and novelistic form (see FORMALISM). Indeed, many of the key features of the modernist novel—experiments with form, attempts to register interiority and subjectivity, the break with the rationalist linearity of the realist novel—have been considered “feminine” (Pykett, see PSYCHOLOGICAL).

THE NEW MILLENNIUM AND BEYOND

By the new millennium critical energy had shifted from gender to sexuality, from

literature to cultural studies, and from nationalist to transnational approaches—but all of these new fields incorporated their predecessors. Many feminists who wrote pioneering studies of women writers in the 1980s broadened their conceptual frames to include a range of sexualities, national sites, and transnational connections. The “cultural turn” is evident in the changing focus of two influential modernist anthologies. The first anthology, *The Gender of Modernism* (B. K. Scott and M. L. Broe, eds. 1990), challenges the widespread conception of modernism as a masculine aesthetic by making visible the work of women modernists. The later anthology, *Gender in Modernism* (B. K. Scott, ed., 2007), explores gender as it intersects with a range of discourses, sites, and practices in modernity. The latter work, informed not only by gender but by cultural studies, new historicism, and approaches concerned with race, class and (post)colonialism, situates modernist works in a field of “new geographies” and “complex intersections.”

The concept of gender has, in the past thirty years, seeded powerful new readings of the cultural work of the novel and challenged conceptions of literary movements and periodizations. Gender is now firmly established as a powerful and compelling analytic tool in novel studies. As a result, feminist critics are increasingly willing to acknowledge the limits as well as possibilities of gender analysis. Cathy Davidson, for example, reflects on why she did not use gender as a key organizing category in her study of the early American novel: “the more I read novels, newspapers, tracts, and private sources . . . the less I was convinced that gender was *the* defining category of identity in the new Republic or, indeed, that any one category of identity trumped all the others” (29). In her transnational study of the figure of the Indian in British and American literature and culture, Kate Flint (2009, *Transatlantic Indian, 1776–1930*)

uses gender as one frame among others in analyzing a complex field of discourse. Regardless of whether critics combine gender with other analytic categories as they have in the past thirty years, or even take a break from gender as new approaches are developed, the legacy of gender analysis will cast a long shadow in the field.

SEE ALSO: National Literature.

BIBLIOGRAPHY

- Ardis, A. (1990), *New Women, New Novels*.
 Armstrong, N. (1987), *Desire and Domestic Fiction*.
 Boone, J.A. and M. Cadden, eds. (1990), *Engendering Men*.
 Butler, J. (1990), *Gender Trouble*.
 Carby, H. (1998), *Race Men*.
 Davidson, C. (2004), *Revolution and the Word*, 2nd ed.
 Eng, D. (2001), *Racial Castration*.
 Henderson, M. (1989), “Speaking in Tongues: Dialogics, Dialectics, and the Black Women Writers’ Literary Tradition,” in *Changing Our Own Words*, ed. C. Wall.
 Hull, G., P. Bell-Scott, and B. Smith (1982), *All the Women Are White, All the Blacks are Men, but Some of Us Are Brave*.
 Johnson, C.L. (1995), *Equivocal Beings*.
 McClintock, A. (1995), *Imperial Leather*.
 Moglen, H. (2001), *Trauma of Gender*.
 Perry, R. (2004), *Novel Relations*.
 Poovey, M. (1988), *Uneven Developments*.
 Pykett, L. (1995), *Engendering Fictions*.
 Sedgwick, E.K. (1985), *Between Men*.

Genette, Gérard *see* Narration; Narrative Technique; Narrator

Genre Theory

PETER HITCHCOCK

Genre’s general provenance has been to categorize any number of cultural expressions, both verbal and non-verbal, including sounds, images, speech, writing—all in the service of understanding the discursive

construction of meaning. Genre theory attempts to make sense of this wide diversity and is in many ways the cultural task of providing a conceptual key to the complex knot of social expressivity. Because of genre's extent, however, the project of providing a master principle is largely unattainable, and most analyses of the subject either isolate significant components or offer descriptions of generic characteristics (Duff). There was a time, perhaps that of Horace (65–8 BCE) or Alexander Pope (1688–1744), when the work of generic distinction was similarly complex yet more forceful, as if the very limited and precise parameters of genre and non-genre permitted a more definitive heuristic function. Today, most studies of genre in literary studies are those that recall the polemical ring of their classic forebears, Plato and Aristotle, yet are unable to significantly reproduce their schema (Fowler). These studies need not be in agreement with classicism; what they suggest instead is that genre theory is at its best when it claims the ideological significance of distinction as an important endeavor in its own right (see IDEOLOGY). By considering this implication, this I not only intend to raise the question of a politics of genre but also to show that the field of study is historical in its impress, even if history is not pronounced in this critique or that. At this level, genre theory is an agonistic arena for debating cultural norms—the rules, let us say, of cultural exchange at any one moment in history. If grand statements on genre are less possible now, it is not because genre has diminished in importance but because a plethora of genres saturate advanced modernity and resist even the most everyday categorical distinctions that would separate them. Genres change and the genre of genre theory has mutated accordingly, but today the authority of genre theory has less relative social power than before, and that observation is not without its lesson for cultural analysis in general.

Rather than summarize how genre is appropriate to different forms of cultural expression (Dowd, Stevenson, Strong) or explore the form that has generated the most critical and descriptive literature in the last quarter-century (film), I want to focus on literary theories of genre, not as prescriptive of all others, nor as a metonymic master narrative, but as a critical site where the status of genre has become particularly vexed, a place of crisis and reevaluation that tell us why genre and concepts of genre merit sustained investigation. Concepts of genre in literary theory have always been founded on appropriate critical apprehension: understand distinctions in kind, the logic goes, and cogent criticism will follow from this recognition. Genre performs the work of distinction as law, and this function binds literary discernment more than any other. It is, as it were, the discipline in the discipline of literature. Genres come and go (think of the lyric or Menippean satire), but the law of and in genre remains inviolable, or so it has seemed, and thus genre is both generative to and immanent in the study of literature. Because genre provides literature with laws of distinction, however, genre theory, as I have indicated, has been a pertinent battleground over the sustainability of literary rules in general and provides us with something very close to a framework of literary history. While the intention here is not to provide that history, it is worth recalling aspects of its genealogy before considering the state of genre theory today.

In the third book of Plato's *Republic* (fourth century BCE) Socrates categorizes cultural expressions by form according to whether the poet is engaging in pure narration, imitation, or a mixture of both. Of course, the narrative recital of the poet herself neither precludes imitation or a rhetorical mixture, so the logical bases of tragedy, COMEDY, and EPIC are in practice intermingled, a fluidity that is salutary but

is less evident in neoclassicism. Similarly, Aristotle's *Poetics* (fourth century BCE) emphasizes different means of imitation, before different objects of imitation, but again, while distinctions are drawn between tragedy and comedy, the generic pivot rests between authorial speech and that of characters. By specifying manner, Aristotle certainly proffers generic formalization, but it is hardly the template it is often read to be. Indeed, in the absence of that categorical assertion many critics, most notably Gérard Genette, have been intrigued with how the attribution of the assertion concerning formalization is provided from the late Renaissance on, particularly as it valorizes the lyric, which Aristotle does not consider. Why the shift? In part, it reflects a different generic need, one that codifies cultural expression in the service not just of aesthetics but of taste in general. On one level this measures the importance of class in classification (for this indeed reflects the cultural requirements of a developing CLASS); on another, it is symptomatic of the emergence of genre as an arena of inquiry in its own right. The recognition is that the study of tragedy, epic, or lyric can be descriptively rich but lacks conceptual depth. The markers might well be there, but they are shorn of philosophical import, and distinction therefore appears dangerously arbitrary. Thus, in the work of the English poet John Dryden (1631–1700) for instance, we witness a generic authority in his own writing but also a sense that, in the face of genre proliferation, distinction must be a more calculated and professional endeavor. *The Indian Queen* (1664), coauthored with Robert Howard, seeks to substantiate Dryden's position on heroic tragedy, but the more conviction he shows for this writerly duty the more his work is open to a stock-in-trade seventeenth-century response, satire (see PARODY). It is important to emphasize that public dispute over the relative value of genres was tied not

just to personal foibles but to economic decisions. In Dryden's career, for instance, heroic tragedy drops out as theaters fail and the audience/market for verse satire asserts itself, Dryden's *MacFlecknoe* (1682) becoming a touchstone of the latter genre. Professionalization and patronage are key integers of generic prescription and, for neoclassicism at least, significantly alter the perception of value in individual genres. The public voice of the poet also inflects neoclassical versions of the lyric and the fact that reflexivity over a public persona is now possible within a more general culture of writing. Thus, when one teaches heroic tragedy, or satire, or lyric of the period, one is simultaneously engaging the discursive relations of the writer and society. This does not preclude more universalist or prescriptive characterizations of genre, but it does complicate any appeals to autonomy in generic attribution.

The public and professional roles of the writer, consonant with the stirrings of bourgeois modernity, provide a rationale for generic sensitivity, but the intense valorization of specific genres must also rest on their socialization—the extent to which their truths and realities are dynamically and dialectically refracted through social discourses as a whole. Thus, the hierarchies of genre (say satire over heroic tragedy) are not just the shuffling tastes of a literary elite but a way to understand the possibilities and pitfalls of social expressivity at any one moment of history. Rather than privilege the literary, the point is to measure overall generic attribution as a condition of social knowledge. Yet if this was not necessarily the charge of neoclassicists themselves, the place of literary genres becomes more arguable as literacy increases and writing is popularized from within. Genre theory had not only to consider the zest for rules of classification but also the work of genre more generally, as genres would emerge, interact, multiply,

and die. Any basic division—for instance, Mikhail BAKHTIN's position on primary and secondary genres between speech and writing—had also to fathom the relationship among the units of generic attribution, from individual words all the way up to epic extension. Given the complexity of that task, it is small wonder that genre theorists have often drawn on other rules-based classificatory models to help out. This can push literary genre theory closer to LINGUISTICS, just as linguistics is closer to science and a methodical understanding of language composition (by contrast, Bakhtin refers to his project as a form of metalinguistics or translanguistics).

Bakhtin's approach is both more expansive than genre theory that draws on the Aristotelean tradition and less descriptive, in the sense that above all else it seeks to provide concepts of genre rather than attributes. Like Hans Robert Jauss, Bakhtin is more interested in the process of genre formation and change than he is in taxonomic precision. But this theoretical messiness also derives from a distrust of the scientific turn, particularly that in Saussurean linguistics. In *Speech Genres and Other Late Essays* (1986) Bakhtin defines the utterance as the building block of genres, where the utterance can be a single word or other unit all the way up to a "large novel or scientific treatise" (71). Utterance, rather than narrative or discourse per se, allows Bakhtin to distinguish and connect what is spoken and what is written (the former forms primary genres, the latter enables secondary genres such as the novel). But how does one identify a genre, given what is obviously a very expansive category? Bakhtin argues that genres have specific themes that mark their appropriateness and semantic field. For example, while an economy menu on an airline flight might project the aura of a five-star restaurant, the flight attendant delivers a very clear sense of the

meal's possible meaning: "Chicken or beef?" A second aspect in genre for Bakhtin is the relationship between utterance and intention: what is the plan, Bakhtin asks, that the speaker intends to fulfill by this specific utterance? To continue with our example, the flight attendant does not wish to debate the finer points of the potato croquettes or how done the meat is (never less than overdone), but to get through the cabin as efficiently as possible. At thirty thousand feet you may refuse the meal, but the context determines the narrow limits of choice in the matter, so get with the program. This points to the third aspect of genre Bakhtin emphasizes, the norming of such language by convention and experience. True, the passenger may speak a completely different language, but by looking at her or his neighbors the passenger will quickly surmise the habitual restrictions on this speech genre. The tone and evaluative context effectively finalizes the generic mode, and the utterance permits the possibility of assimilation, the scene in which language is socialized. Now this of course does not preclude either generic combinations or interruptions, but Bakhtin's generic principles accentuate why a science of language might usefully be pushed into reading situations of the utterance where language is alive in social interaction. In spirit, if not in name, this represents the democratization of genres.

Tzvetan Todorov, while clearly influenced by Bakhtin (1984), has a different sense of genre's role for historical poetics. While still a building block, what is built is a bridge between literary structure and historical change, and this bridge relies heavily on STRUCTURALISM as a science. In *Genres in Discourse* (1990) Todorov argues that genre, simple or complex, is a process of codification that permits the identification of classes of texts. These classes can be distinguished by attention to their semantic, syntactic, and verbal characteristics. What is fascinating

and frustrating about these interpretive keys is that the influence on generic composition rapidly retreats from the street (or even the aircraft aisle) to the more rarefied insistence of the critic himself. It turns out that by codification Todorov primarily means the effect of institutional norming—say, that of the university—rather than the discursive struggles of the everyday from which Bakhtin extrapolates. Thus, “it is because genres exist as an institution that they function as ‘horizons of expectation’ for readers and as ‘models of writing’ for authors” (1990, 18). Todorov is not wrong to view genre in this way (it is largely the position of neoclassicism on genre identity), but by placing such a heavy burden on institutions as the prime mediating factor in “existing generic systems” the field of literary possibility appears shrunken; it is a professional privilege once more, and less open to the creative energies of discursive interaction in general. True, Todorov will spend much time pondering “SPEECH ACTS” (basically the utterance-as-building-block Bakhtin describes), but his discussion of simple genres of the everyday is but a brief prelude to the institutionally informed complex genres, where scientific precision appears more amenable and professionally alloyed. The historical poetics that emerges has both the merit of engaging generic change over time and the restriction of institutional guarantee. What is intrinsic to a genre is dependent to a large degree on the critic’s ability to perceive such generic signifiers.

At this level, genre and more specifically genre theory is an integer both of generic plenitude and expertise in discernment. It affords an opening onto the articulation of specific moments in genre definition, say, the Renaissance, and offers an understanding of expressive forms over longer periods (Bakhtin, for instance, will stretch the HISTORY of the novel by taking up the process of novelization). For his part, Todorov is keenly interested in an origin of genres that

valorizes the focus on Aristotle’s poetics but also teases out a process to be understood in a global register. In one example Todorov examines the “inviting” genre of the Luba in Zaire (now the Democratic Republic of the Congo) and notes how a basic human practice elicits conventions that substantiate a genre over time. The danger in such an approach is that by deeming this a simple genre, the critic may inadvertently privilege Western genres as more complex by comparison (and indeed Todorov will draw from his own work on the fantastic in Western literature as a subsequent example of a complex genre). Since Todorov has explicitly countered a Western will-to-power in naming conventions within the history of colonialism, the choice of comparison is unfortunate but means much work remains if genre is to undo the deleterious expressions of its own genealogy. For genre to become more global in its explanatory power genre theory itself must be subject to decolonization.

Sometimes the most striking contributions to genre theory are doggedly at odds with the genre of genre theory itself (and thus a proof the study of genre is simultaneously a realization of generic exception). Harold Bloom’s *Anxiety of Influence* (1973), for instance, has nary a thought for genre theory, and yet his hypothesis on influence in poetry shows how a genre renews itself. For Bloom, mere poets are those who engage their poetic forebears only to succumb to imitation and subservience. To become a great poet, Bloom avers, one must engage in poetic misprision, a kind of creative misreading of the great poets in which one overcomes the anxiety of their influence (six methods are explored) to make poetry new. Informed more by psychological than structural principles, Bloom nevertheless displays the aura of genre studies as a historical poetics bound by institutional determinants, a medium as it were, of influence.

Similarly, Erich Auerbach's monumental *Mimesis* (1953) has little truck with generic precision, yet Auerbach, in seeking to unpack how literature represents reality, provides enormous insight into a stylistic intricacy that has the effect of showing how REALISM finds a home for genre. The generic insistence comes from the range of Auerbach's choices (like Bakhtin, these can often be obscure or less than obvious), perhaps sharpened by his exile at the time of writing, which limited his library and resources. His more well-known examples, from Homer, Dante, François Rabelais, and William Shakespeare, do not just reveal realism's purchase on expressivity but also detail in erudite and surprising ways how different genres stylize reality within the main currents of cultural discourse. The result is not a theory of genre as such but a demonstration of literary historiography, without which it would be impossible to think genre in all of its profusion. It may well be that the best philology always has as its subtext the story of genre, but one stripped of recognizable systematicity and therefore one much harder to institutionalize or valorize as posited norms.

Style may be more specific to an individual writer than a genre, although we can certainly read stylistic equivalents across a genre (like the balloons of sound that mark heroic action in comic book narratives). But if we can enumerate genres in literary expression and note generic multiplicity in general, can we assign rules for their emergence, or a law that explains both the singularity of genre and its seemingly infinite variegation? In "The Law of Genre" (1981) Jacques Derrida takes up this question in a typically counter-intuitive fashion by thinking of what would be the opposite of such a law, whether it is the chance of contamination or simply of generic impossibility. The law, by itself, always seems easy to articulate: "The genre has always in all genres been able

to play the role of order's principle: resemblance, analogy, identity and difference, taxonomic classification, organization and genealogical tree, order of reason, order of reasons, sense of sense, truth of truth, natural light and sense of history" (77). The force of Derrida's argument comes through in a simple statement: "I will not mix genres" (51). One should not mix genres because this would contaminate their purity, the source of their identity. The problem, as Derrida's statement underlines, is that mixing and heterogeneity in general are continuous with the law of genre, and the assumption of the law obfuscates or suppresses the complex struggles of genre identity. In effect, the law of genre asserts a border only to find that the troubled border might be more symptomatic than generic essences themselves. Again, in true Derridean fashion, the essay circles around a tension between a truth in the subject and its infinite sublation or deferral. However one might recoil from Derrida's strategy, the essay indicates a major rethinking of genre's literary genealogy, one that always returns us to genre's generative question about the truth of identification in Western philosophy in particular.

The return to the history of genre theory to which Derrida's essay alludes is timely, but I do not take the position (and Derrida certainly does not) that such a rereading is simply or only about the West versus the Rest. Certainly, there is enough grist in Western metaphysics and poetics to support a more thoroughgoing deconstruction, but when one considers genre's academic purchase there are other concerns in its rethinking. First, there is an obvious question about the nature of expertise required in genre critique. Even if one restricted one's focus to literary genres, as I have done here, it is clear that major categories like epic, tragedy, lyric, and novel explain literary history much better than they do the myriad genres of the present. Any attempt to discern

generic distinction must bear the weight of this almost exponential proliferation, which I take to be symptomatic of a more fully globalized cultural interaction. There is no way expertise can pass through this eye of difference, no way the individual critic can adequately embrace a level of detail commensurate with generic multiplicity. Genre theory, then, must be both more humble in its claims for individual examples and yet more assertive in its explanation of the logic of genre formation across the range of its possibilities. John Frow's recent contribution, *Genre*, seems to me to point the way if we wish to describe a field of genre studies. Eschewing the lure of a master list, Frow instead begins by elaborating the uses of genre in different areas of inquiry, "how genres actively generate and shape knowledge of the world" (2). At this level, genre is a "form of symbolic action," and genre theory examines the processes by which such action takes place. This effectively links structural questions of genre, elements that intimate its identity as a textual event, to its capacity or not for change, which implies a system of genres and their relations in which such an identity makes sense. While one may quibble with the slide Frow makes between truth and truth effects and the real and reality effects, he nevertheless offers a refreshing take on genre alive to theoretical reflexivity.

Symbolic action, the basic measure of effect between that which signifies and its context, itself has a rich history in literary theory and philosophy. Ernst Cassirer, in his four-volume *Philosophy of Symbolic Forms* treats language as a unit of action, even if his sense of form is usually neo-Kantian in its interpretation. Kenneth Burke, in both *Language as Symbolic Action* and *The Philosophy of Literary Form*, strives to assess the work of language in the literary as socially engaged, although symbolic action is a super-genre at this level. Finally, of course, Fredric Jameson in *The Political Unconscious* pulls the

symbolic from metaphysics and instead makes it a fulcrum in the understanding of narrative as action. Because none of these texts begin with genre they do not play a role in Frow's analysis, but what they reveal in profoundly different ways is the manner in which the symbolic provides an alternative genealogy to the study of genre as one of content markers out of time. The critique of symbolic action may well be the genre upon which genre studies now pivots. As Frow puts it: "Genre classifications are real. They have an organizing force in everyday life. They are embedded in material infrastructures and in the recurrent practices of classifying and differentiating kinds of symbolic action" (13). Although Frow does not go further in conceptualizing symbolic action, its invocation continually allows him to move between the general and the particular, classical genres and the everyday, textual examples and discourses for which text signals a broader mediatory prospect.

Let me indicate, by way of conclusion, some of the tasks that face genre theory, particularly as it embraces literary analysis. The taxonomic basis of literary genre, in Aristotle's divisions of speech in representation, continues to exert a strong influence on how genre is understood as a way of storytelling or narration. This does not mean genre critics have been duped by the classificatory authority of the ancients, but such divisions continue to exert a productive explanatory power, and this is partly an underlying meaning of genre itself. Genre theory's project is not only to understand the history in which classic distinctions of this kind are manifest but also to fathom why there are specific shifts in intensity in their assertion. As I have suggested above, the most promising analyses of genre consider both the structural and stylistic elements of an individual example alongside at least three levels of possible context. These correspond to the circumstances of

sedimentation, whether traditional associations have an organic meaning for a particular community of interpreters (even if it may have been initially imposed); the relationship to other genres where the level of correspondence and divergence is culturally creative (think, for instance, of the productive frisson between novel and film); and an insistent democratization of forms and genres that simultaneously informs and is produced by political possibility around classification and its social meaning. From this perspective there is a certain impossibility to the field of genre studies as a collocation of like-minded experts on its manifestations. It is a field to the extent the debates about its principles are ongoing and generative; it is not a field in the sense it might find a well-defined institutional base that is disciplinary rather than interdisciplinary. The enormous amount of research available from the mid-1980s on that takes genre study as primarily nonliterary but essentially based on language use (and thus a basis for the examination of the memo, let us say, or a lab report) has enabled a richer understanding of the rhetorical power of genre in different professions and under varying conditions of cultural capital. In literary studies genre theory often takes up this more expansive socialization, particularly as it refigures our understanding of literature's most prominent and influential genre, the novel. When Bakhtin asserts the prescience of novelization he means to invoke not just a history of the novel but the broad contingencies of its generic formation. What is so interesting about the novel, seen in studies as diverse as those of Georg Lukács, Bakhtin, Northrop Frye, and Franco Moretti, is that it both proves the virtue of classificatory understanding and the manner in which classification itself is continually overreached. Each time the death of the novel is announced critics are really debating a crisis in the genre's classification

(see DEFINITIONS). This does not mean literature's most powerful genre cannot die (at its back the novel now always hears the winged chariot of new media) but places the novel in its generic context: the spaces in which it is taken up, the social, cultural, and ideological rationale for that undertaking, the effect of new genres on old and vice versa, and the institutional networks where its life is also livelihood (including, one might add, in the production this very tome). Finally, what calls general classificatory systems into question depends on revolutionary contingencies much greater than the laudable contributions of genre theory to knowledge. If there was a time when the defining authority over genre doubted such connections to socialization it cannot do so today. What promotes genre proliferation is also what enmeshes it in struggles over the meaning of the social in general, and that can only be a positive link in elaborating the significance of genre theory.

SEE ALSO: Intertextuality, Metafiction, Modernism, Novel Theory (20th Century), Rhetoric and Fictional Language.

BIBLIOGRAPHY

- Auerbach, E. (1953), *Mimesis*.
 Bakhtin, M.M. (1981), *Dialogic Imagination*.
 Bakhtin, M.M. (1986), *Speech Genres and Other Late Essays*.
 Bloom, H. (1973), *Anxiety of Influence*.
 Burke, K. (1968), *Language as Symbolic Action*.
 Burke, K. (1974), *Philosophy of Literary Form*.
 Cassirer, E. (1955, 1957), *Philosophy of Symbolic Forms*, 4 vols.
 Derrida, J. (1981), "The Law of Genre," in *On Narrative*, ed. W.J.T. Mitchell.
 Duff, D. (2000), *Modern Genre Theory*.
 Dowd, G., L. Stevenson, and J. Strong (2003), *Genre*.
 Fowler, A. (1982), *Kinds of Literature*.
 Frow, J. (2006), *Genre*.
 Frye, N. (1957), *Anatomy of Criticism*.
 Genette, G. (1979), *Narrative Discourse*.
 Jameson, F. (1981), *Political Unconscious*.

- Jauss, H.R. (1982), "Theory of Genres and Medieval Literature," in *Toward an Aesthetic of Reception*, ed. T. Bahti.
- Lukács, G. (1971), *Theory of the Novel*.
- Moretti, F. (1999), *Atlas of the Modern European Novel*.
- Todorov, T. (1990), *Genres in Discourse*.
- Todorov, T. (1984), *Mikhail Bakhtin: The Dialogical Principle*.

German Novel

IRENE KACANDES

Goethe, Mann, Kafka, Canetti. *The Sorrows of Young Werther*, *All Quiet on the Western Front*, *The Man Without Qualities*, *The Tin Drum*. The novel is barely conceivable without the contribution of literature written in the German language, and yet, the German novel is rarely the focus in general histories of the GENRE (see HISTORY). To be sure, the development of the German novel can be understood through many of the same categories that have been used to explain the Spanish, French, or English novel. There are German PICARESQUE, EPISTOLARY, HISTORICAL, realist (see REALISM), modernist (see MODERNISM), postmodernist and even magical realist novels (see MAGICAL REALISM). Explanations of these terms as well as histories of the novel in other European countries, particularly in France and England, would apply in great part to the German case. This entry, therefore, presents certain historical factors, in distinction to those countries, influencing the development of the German novel and points to central contributions of the German novel to world literature: Modernist experimentation, the processing of NATIONAL trauma, and multiculturalism.

GERMAN?

During the critical centuries of the novel's development in other places in Europe, there was no single German state. Dating

back to even earlier traditions among Germanic tribes, the Merovingians and the Carolingians, German-speaking rulers of the Holy Roman Empire (the Middle Ages to 1806) often passed on land and power through division among heirs rather than according to the principle of primogeniture, resulting in the existence of not one German nation but rather many smaller political units, *Kleinstaaterei*, where German dialects were spoken. This state of political affairs led to many wars, smaller and greater in scope. The most protracted and international of these was the Thirty Years War (1618–48), which caused the decimation of numerous populations within the Holy Roman Empire. It also inspired what many rightly consider the first German masterpiece, a picaresque-like novel, *Der abenteuerliche Simplicissimus Teutsch* (1669, dated 1668, *Simplicius Simplicissimus*), by an individual who experienced the war directly starting at age twelve, Hans Jakob Christoffel von Grimmelshausen. However, *Kleinstaaterei* also led to the kind of linguistic and social diversity that can impede the type of reading audience many literary historians consider necessary for the development of the novel.

Some linguistic cohesion developed in the wake of Reformer Martin Luther's (1483–1546) translations of the New and Old TRANSLATION into the vernacular (1521–34). TRANSLATIONS into German from literature primarily of England and France further refined and unified the language, in Eric Blackall's view, transforming it over the course of the eighteenth century from "an uncouth language into one of the most subtle literary media of modern Europe" (211). German lands, however, continued to diverge politically, culturally, and linguistically. Even under the Prussian hegemony that led to the declaration of a German nation-state in 1871, numerous other German-speaking political units and regions remained, from Prussia's main

rival, the Hapsburg Empire, to German-speaking Swiss cantons. Twentieth-century developments reinforced this pattern, as the post-WWII Allied division of Germany (1945–49) created two separate political entities, the Federal Republic of Germany (FRG, “West Germany”) and the German Democratic Republic (GDR, “East Germany”). Thus there are histories of West German, East German, Austrian, and German Swiss literature. Though it is hardly accurate to speak of “the” German novel, in the same way that one speaks of the French novel, other literary historians do so all the time, capaciously applying the term to longer fictional prose narratives written in the German language and obscuring differences in geography, government, and nearest linguistic influences on “German” novelists.

Writers who gain recognition easily become absorbed into an indiscriminate if not imperialistic German canon. To cite just a few salient examples among famous twentieth-century novelists: Franz Kafka was born in Prague, which at the time was part of the Austro-Hungarian Empire, but its German-speaking community constituted only seven percent of the city’s population; Kafka wrote his Czech friend Milena Jesenská (1896–1944) that while German was his mother tongue, Czech went straight into his heart. Zürich was the birthplace and longtime residence of Max Frisch, who, however, also lived in Rome, New York, and Berlin. The most acclaimed writer of the GDR, Christa Wolf, was born in Landsberg an der Warthe, now known by its Polish name Gorzów Wielkopolski, and from which her family was forced to flee in the closing stages of WWII; she now lives and writes in what has become the united Germany. W. G. (Winfried Georg) Sebald was born in Wertach, a small town in the Allgäu, shortly before it became part of the American occupation zone, but he lived, taught, and wrote more than half of his life in England.

The winner of the 2009 Nobel Prize for literature, Herta Müller, hails from the Banat, a German-speaking region of Romania, and studied German and Romanian literature in Romania; her first novel, *Niederungen* (1982, *Nadirs*) could be published there only in a highly censored form (see CENSORSHIP), and she migrated to West Germany in 1987. A more accurate common denominator among these writers than labeling them “German” would be to remark that the German language was for them a mother tongue. A recent and fecund development concerns individuals who have acquired German linguistic ability after (mainly voluntary) migration to a German-speaking country and who then choose to write in German, providing another interesting contrast to England or France, where “non-natives” writing in English or French mainly come from places that were previously colonized by those powers and for whom the language in which they write is perhaps one of several native tongues.

NOVEL?

The modern German word for novel is *Roman*. According to Hartmut Steinecke, this term came into use to describe a new prose genre via translations from the French in the seventeenth century. It was not without competition, however, since the word’s connotations of “fantastical,” “exaggerated,” and “untrue,” and its etymological closeness to the earlier established genre of the ROMANCE, led numerous authors of what we would now consider novels to designate their works as *Historie*, *Geschichte*, or *Geschichtsgedicht* (history, story, history poem); two of many examples would be C. M. Wieland’s *Geschichte des Agathon* (1766–67, *The Story of Agathon*) and Sophie von La Roche’s *Geschichte des Fräuleins von Sternheim* (1771, *The History of Lady Sophie*

Sternheim). This emphasis on reality and truthfulness, however, was also not without competing claims from another developing prose genre, the *Novelle* (novella), that which reported the news, an uncanny or uncommon event (see JOURNALISM). It was this competition from and solidification of the features of the *Novelle*, along with the Romantics' admiration for the new longer genre—the common linguistic root in *Roman* and *Romantik* did not escape the German Romantics' attention, and philosopher and writer Friedrich Schlegel (1772–1829) famously praised the novel in his often quoted 116th *Athenäum* fragment—that led to the hegemony by the end of the eighteenth century of the word *Roman* over a term in German that might have been closer to the word “novel” (Steinecke, 318). This piece of literary-linguistic history should signal the interlocking and contemporaneous development of several prose genres in German-speaking territories. To put it otherwise, some of the greatest works written by some of the greatest German novelists are actually novellas, short stories, or *Kunstmärchen* (artistic fairytales). While the fairytales collected by Jacob and Wilhelm Grimm (*Kinder- und Hausmärchen*, 1812–15) are known the world over, few nonspecialists realize how many pieces of prose fiction were drafted by German writers in the form of the artistic fairytale (see SCIENCE FICTION).

Some scholars consider the success of these shorter forms as undermining the development of the German novel. Sagarra and Skrine explain the phenomenon very much in the accepted framework for the development of the novel in the dominant Western cultures of England and France: Johann Wolfgang von Goethe's

relegation of the description of contemporary manners to the periphery, and his emphasis on the timeless issues raised by the encapsulated stories [in Goethe's set of stories

Unterhaltungen deutscher Ausgewanderten, 1795; *Conversations of German Refugees*] told with economical mastery of form, set a seal of approval on shorter prose fiction as an aesthetically superior genre and helped to demote the novel of society to a less elevated position in the literary perception of German writers, readers and critics than it occupies in the literary culture of England and France. (87–88)

I take a different lesson from this observation about Goethe and suggest that the novel of society was not the only way forward for the still-developing novel form. Over the course of the nineteenth century, German writers experimented with shorter and longer forms, including the shorter, as mentioned above, and the longer most notably in the form of the BILDUNGSROMAN (novel of the education of an individual) and a specific subgenre of bildungsroman, *Künstlerromane* (novels of the development of an artist). Ultimately this writing in multiple prose-fiction genres leads not only to the novelistic genius of Theodor Fontane but also then to the astounding explosion of Modernist experimentation by which the German novel is perhaps best known elsewhere (see MODERNISM).

We can illustrate these points with some facts of late eighteenth- and nineteenth-century German literary history. In addition to the series of tales inspired by Giovanni Boccaccio mentioned above (*Unterhaltungen deutscher Ausgewanderten*), Goethe is of course known for one of the first European bestsellers, the epistolary novel *Die Leiden des jungen Werthers* (1774, *The Sorrows of Young Werther*). He is considered the initiator of the bildungsroman, in which the central figure achieves self-knowledge through a series of experiences and encounters (Goethe worked on the “Wilhelm Meister” novels for most of his writing life: *Wilhelm Meisters theatralische Sendung* (written 1777–85, *The Theatrical Mission of Wilhelm Meister*), *Wilhelm Meisters Lehrjahre* (1795–96, *Wilhelm Meister's*

Apprenticeship), and *Wilhelm Meisters Wanderjahre* (1821, 1829, *Wilhelm Meister's Years of Travel*). Goethe is also the author of a novella called *Novelle* (1828) and the coiner of one of the most famous definitions of the novella form as “eine sich ereignete, unerhörte Begebenheit” (“an unheard-of occurrence that really happened”). He even wrote a fairytale, “Märchen,” within the *Unterhaltungen deutscher Ausgewanderten*. While it has a very different tone from, say, Jane Austen’s works, Goethe himself wrote a fascinating novel of society, *Die Wahlverwandtschaften* (1809, *Elective Affinities*).

The German Romantics experimented with numerous genres; the idea of *Universalpoesie* (a universal, historical concept of literature), originally Schlegel’s, was important for all of the Romantics. With regard to prose forms, they sometimes combined them within one work, as Novalis did with the embedded fairytale in his fragmentary bildungsroman *Heinrich von Ofterdingen* (1802). Ludwig Tieck, author of perhaps the first *Künstlerroman*, *Franz Sternbalds Wanderungen* (1798, *Franz Sternbald's Travels*), is also the author of numerous novellas and shorter works, including one of the most famous literary fairytales, *Der blonde Eckbert* (1796, *The Blond Eckbert*). Similarly, E. T. A. Hoffmann is known both for his novels—e.g., the brilliant satirical rendering of a bildungsroman as the story of the development of a cat with the story of the musician Kreisler scattered throughout, *Lebensansichten des Katers Murr* (1821, *The Life and Opinions of the Tomcat Murr*)—and novellas and literary fairytales. The most fascinating of these include *Der goldne Topf* (1814, *The Golden Pot*) and *Der Sandmann* (1817, *The Sandman*). Adelbert von Chamisso’s refashioning of the tale of Faust into the story of a man who gives up his shadow for magical powers, *Peter Schlemihls wundersame Geschichte* (1814, *The Wonderful History of Peter Schlemihl*), might be considered a literary fairytale, novella, or short novel.

Similarly, the major novelists of the mid-nineteenth century also exercised their storytelling alternately in shorter and longer forms and in contrast, again, to many of the most famous English or French novelists of the same period. The Austrian (Bohemian) Adalbert Stifter and the Swiss Gottfried Keller both produced novella cycles practically simultaneously with drafting huge bildungsromane. To cite just the most famous, Stifter’s novella collection *Bunte Steine* (*Rock Crystal*) came out in 1853, and his novel *Der Nachsommer* (*Indian Summer*) in 1857; Keller’s first version of *Der grüne Heinrich* (*Green Henry*) appeared from 1853–55, and one of his numerous novella cycles, *Die Leute von Seldwyla* (*People of Seldwyla*) appeared in 1856 among other haunting tales, his retelling of the Romeo and Juliet story, “Romeo und Julia auf dem Dorfe” (“A Village Romeo and Juliet”). The Austrian (Moravian) Marie von Ebner-Eschenbach wrote in numerous genres, including extensively for the stage. She self-consciously subtitled her prose works everything from fairytales to stories to novellas to novels, e.g., *Das Gemeindegeld* (1887, *Their Pavel*). Even Theodor Fontane—the most highly acclaimed novelist of the nineteenth century who was often compared to the likes of George Eliot, Anthony Trollope, Honoré de Balzac, and Émile Zola—experimented and excelled in numerous forms, honing his skills as a journalist and travel writer, and publishing belles-lettres in the form of novellas, DETECTIVE fiction, and of course, realist novels (the most famous of these last being *Effi Briest*, 1894–95).

GERMAN MODERNISM

Provisos about “German” and about generic influences on German “novels” are confirmed by examining Modernist experimentation in prose fiction written in German. As pointed out above, Franz Kafka,

probably the German author most widely known in our times (the way Goethe was for earlier generations), was neither a citizen of Germany nor did he write exclusively novels. Indeed, it is hard to imagine understanding the world Kafka created in novels like *Der Prozess* (1925, *The Trial*) and *Das Schloss* (1926, *The Castle*) without having read the short stories such as “Das Urteil” (wr. 1912, “The Judgment”) or the novellas such as *Die Verwandlung* (1915, *The Metamorphosis*). Another striking example is Austrian-born Robert Musil, whose short novel, *Die Verwirrungen des Zöglings Törless* (1906, *Confusions of Young Törless*) and short stories *Drei Frauen* (1924, *Three Women*) rehearse themes, poetic techniques (especially the use of metaphor to describe mental states), and character development that inform his brilliantly satirical portrait of middle European decadence in the early twentieth century, *Der Mann ohne Eigenschaften* (1931–32, *The Man Without Qualities*). Even Nobel Prize-winning author Thomas Mann, at least in his own estimation the most German of German novelists, thought of himself as the product of two major cultural temperaments, northern German and southern (his mother was part Brazilian). Mann is at least as well admired for short fiction like *Tonio Kröger* (1903), *Der Tod in Venedig* (1912, *Death in Venice*), or *Mario und der Zauberer* (1930, *Mario and the Magician*), as for his novels such as *Buddenbrooks* (1901) and *Doktor Faustus* (1947); his monumental *Der Zauberberg* (1924, *The Magic Mountain*) began as a short story.

German Modernist experiments in NARRATIVE TECHNIQUE and novelistic form deserve to be better known. While Edouard Dujardin’s use of interior monologue in his novel *Les Lauriers sont coupés* (1887, *The Bays are Sere*) has been registered in most literary histories as the forerunner of James Joyce’s deployment of it in *Ulysses* (1922),

Austrian dramatist and writer Arthur Schnitzler’s novella *Leutnant Gustl* (1900, *Lieutenant Gustl*) is the first example of stream of consciousness used throughout an entire text (see PSYCHOLOGICAL). Schnitzler repeated the experiment in *Fräulein Elsa* (1924); however, the most famous and extensive German example of freestanding interior monologue is Austrian Hermann Broch’s *Der Tod des Vergil* (1945, *The Death of Virgil*).

Though Rainer Maria Rilke’s most important literary accomplishments came through the lyric, his sole novel, *Die Aufzeichnungen des Malte Laurids Brigge* (1910, *The Notebooks of Malte Laurids Brigge*), with its budding artist’s anxious confrontation with Parisian urban space, the fear of death, and thematization of language’s inability to reflect reality, should be better integrated into the Modernist canon for its experimentation with form (Rilke called it a *Prosa*buch, prose book). Another poet, Gertrud Kolmar, also drafted a novel about a Jewish female photographers haunting encounter with Berlin and its inhabitants, *Die jüdische Mutter* (wr. 1932, not pub. in German until 1965, *A Jewish Mother from Berlin*), that deserves to be much better known for the way it reflects the underlying problems of the TIME and place in which it was written. Probably the most important contribution to the genre of big-city novels is Alfred Döblin’s *Berlin Alexanderplatz* (1929). No one contests Döblin’s interest in the work of John Dos Passos and James Joyce. However, the particular effect to which Döblin put interior monologue as well as collage technique—his incorporation of the city’s many discourses into his novel, indeed his move to make the city itself protagonist—merits separate evaluation and praise.

German women writers of the period introduced themes previously ignored or inadequately treated that reflected urban and modern life, such as education and

employment for women, abortion, and antisemitism. Vicki Baum's *stud. chem. Helene Willfüer* (1928, *Helene*) or *Menschen im Hotel* (1929, *Grand Hotel*) made into the Hollywood film *Grand Hotel* in 1932) and Irmgard Keun's *Gilgi, eine von uns* (1931, *Gilgi*) and *Das kunstseidene Mädchen* (1932, *The Artificial Silk Girl*) were widely read in their day and deserve the attention they are now getting from younger scholars (e.g., Brandt).

Mann's intermedial introduction of musical leitmotifs—a melody, rhythm, or even a chord used to signal a character, symbol, or situation (often deployed, though not invented by Richard Wagner, 1813–83)—into prose has been frequently noted and should be included in any discussion of German modernism. While there are numerous additional developments and authors that merit mention, Monika Maron's translation into prose fiction of the experience of trauma in *Die Überläuferin* (1986, *The Defector*), and any number of novels by the Austrians Thomas Bernhard and Elfriede Jelinek (winner of the 2004 Nobel Prize for Literature) can be considered productively in the tradition of modernist experimentation outlined here.

WORKING THROUGH THE NAZI PAST

The *Stunde Null* (zero hour) of 1945 Germany applies not only to the defeated nation, bombed cities, occupied territory, and bankrupt political system, but also to the idea that in terms of language and culture, National Socialist Germany had reached an endpoint and whatever remained of "Germany" needed to begin again. While many public figures, aspects of social life, and habits never really changed, or alternately, returned to "normal" after a short time, the German people as a whole and German

artists in particular confronted the horrid chapter of their past to an extent that is hard to identify elsewhere or at other times in world history. German writers tried not only to purify and revivify a language they felt had been hijacked by the Nazis, but also to attempt, through new artistic creation, to lay out, examine, and work through the crimes Germans had perpetrated, including, of course, the Nazi-led persecution and destruction of European Jewry. The term coined for this process was *Vergangenheitsbewältigung* (conquering or mastering of the past), and though the term itself has been recast several times, in phrases like *Vergangenheitsaufarbeitung* (working-through of the past) and the even more general *Erinnerungskultur* (culture of remembering), to indicate the unrealizability and in many ways undesirability of a mastery and therefore forgetting of the past, the process has continued to the present day. The German novel has played an important if not leading role in this working-through. Indeed, the novel has been used in so many ways by so many authors to examine so many aspects of the Nazi past, World War II, and the Holocaust, that only a few salient examples can be considered here.

One of the earliest and most sustained literary efforts to move language and literature forward came through a group of writers who first gathered together in July 1947 and hence have been referred to ever since as "Gruppe 47" (Group 47). Convened annually or biannually for the next twenty years by Hans Werner Richter (1908–93), the meetings were meant to provide a supportive forum for young writers and also to further democracy. In 1950 Gruppe 47 began awarding a prize to bring recognition and money to hitherto unknown writers. Novelists among the prizewinners or Gruppe 47 participants include Austrian Ilse Aichinger, Austrian Ingeborg Bachmann, Swiss Peter Bichsel, Nobel Prize-winner (in 1972) Heinrich Böll, Uwe

Johnson, and Martin Walser. Perhaps the most famous is eventual Nobel Prize-winner (1999) Günter Grass, whose sensational anti-bildungsroman, *Die Blechtrommel* (1959, *The Tin Drum*), was lauded by the group. Grass quickly followed it up with two other works also critiquing characters in the snares of Nazism or its remembrance: a novella, *Katz und Maus* (1961, *Cat and Mouse*) and another novel, *Die Hundejahre* (1963, *Dog Years*); together these three works are referred to as the Danzig trilogy for their setting in that formerly German city (now Gdansk) and their casts of mainly German protagonists. Wolfgang Koeppen's postwar novel trilogy composed of *Tauben im Gras* (1951, *Pigeons on the Grass*), *Das Treibhaus* (1953, *The Hot-house*), and *Der Tod in Rom* (1954, *Death in Rome*) also deserves mention in this context, although the adequacy of Koeppen's reckoning with his personal Nazi past has been questioned (e.g., by Morris, 299–300).

Since an unstated founding principle of the GDR was that all its citizens were good socialists and that socialists were the first victims of the Nazis, it is comprehensible that a working-through of the Nazi past would have taken a very different form there. Today many commentators would say that there simply was no working-through and that this fact explains, for instance, the attraction of Eastern German youth to Neo-Nazism. Literary evidence, however, suggests that this is too broad a generalization. Particularly noteworthy in this regard is Christa Wolf's novel, *Kindheitsmuster* (1976, *A Model Childhood*), whose first sentence already announces that we cannot get by the past: "Das Vergangene ist nicht tot; es ist nicht einmal vergangen" ("The past is not dead, it's not even past"). Although an author's disclaimer at the beginning of the book states that it does not concern actual people or historical events, it is very clear that the outline of the story matches that of chapters in Wolf's own life. The accomplish-

ments of this novel are several: it focuses on the process of trying to come to terms with a Nazi past, and it does so in a way that is technically interesting, using distinct pronouns for the present writing-self of the narrator (second-person singular) and for the child that the protagonist narrator once was (third-person singular)—a child who was entranced by the spectacle of Nazism and its furnishing of a sense of community, though that sense, even to the child, was clearly established at the price of excluding some (see NARRATIVE PERSPECTIVE). The narrator achieves tentative enlightenment, signaled through a single use of the first-person pronoun *ich*, I, toward the novel's conclusion.

Wolf's *Patterns of Childhood* stands in fascinating contrast to W. G. Sebald's magisterial and yet humble *Austerlitz* (2001), reflecting the generational differences of their authors and their concomitantly different relationships to the Nazi past. Whereas Wolf's narrator is trying to connect with her own past, Sebald's makes gargantuan efforts to be a proper sounding board for another's search, that of the titular figure Austerlitz, who discovers as an adult that as a Jewish child he had been put on a *Kindertransport* out of Prague to England just before the war began. Sebald's novel concerns what Marianne Hirsch calls postmemory (1997); a person (the narrator) becomes connected to the Shoah not through his own autobiography, but through his emotional and intellectual involvement with Austerlitz, an enigmatic figure who escaped the horrors to which his family was subjected but only at the price of those familial relationships being completely erased by his adoptive parents and Welsh and British society (see MEMORY). Thus the German narrator's connection to the Nazi past is doubly diffuse, and in any case imprecise and fraught (something that is also reflected in the bizarre use of photographs in the book). Through his novel, then, Sebald takes

what many consider a proper stance toward the events of the last mid-century for Germans today: displaying an interest in learning new things about the Nazi past, while recognizing that full knowledge of what happened and the ability to comfort those who were the war's victims ultimately elude us.

Due to the tragic loss of Sebald himself (killed in a car accident) and the maturity and artistic accomplishment of his last work, many wonder about the next steps in a German processing of the past. There have been ample attempts to portray Germans themselves as victims, for instance, of an unjustifiably brutal air war and vicious expulsion policies for Germans living in eastern territories. Among others, including younger authors like Tanja Dücker in *Himmelskörper* (2003, *Celestial Bodies*), Grass has returned to the lost German East, to the events of the war, and to generations of Germans remembering various parts of the Nazi past with various motivations, through his short novel *Krebsgang* (2002, *Crabwalk*) and his autobiography, *Beim Häuten der Zwiebel* (2006, *Peeling the Onion*). In an interview and in the autobiography itself, Grass revealed his voluntary joining of the Waffen-SS as a 17-year-old, precipitating a public outcry against the person who had been prodding other Germans to work through their pasts for decades. To outsiders, the energy of that discussion itself reveals that a "working-through" is still very much in progress for everybody.

MULTIKULTI

There is a current flourishing of prose fiction written in German by individuals for whom German is not their native tongue. This literature has been referred to variously over the last decades in consonance with the way German society looked at the presence of non-Germans in their

midst. *Gastarbeiterliteratur* (guest-worker literature) referred to those from countries like Italy, Greece, Turkey, and Spain who, starting in the 1950s, had been formally invited by the West German government to work for a time there. After the policy changed (1973), the same literature was called *Migrantenliteratur* (immigration literature), reflecting an awareness that guests were staying for good. *Ausländerliteratur* (literature by foreigners) mirrored the growing understanding of the variety of foreigners who were in fact choosing to live in Germany. And *Literatur deutschschreibender Ausländer* (literature of German-writing foreigners) reflected a certain political correctness. As Fischer and McGowan point out, all of these terms are insufficient or misleading (42); today's *Interkulturelle* and *Multikulturelle*, or *Multikulti*, *Literatur*, also have their drawbacks but seem intended to reference and celebrate the idea of writing from multiple cultural viewpoints.

Vibrant writing has been coming for several decades from writers with names like Franco Biondi (Italy), Rafik Schami (Damascus), Zafer Şenocak (Ankara), and Yoko Tawada (Tokyo). Since 1985 a special award has been aimed at writers "whose mother tongue and cultural background are non-German and whose works make an important contribution to German literature," the Adelbert von Chamisso. Chamisso, the nineteenth-century writer, was himself a refugee to Prussia from Revolutionary France. Naming the prize after him is a gesture on the part of the donors to connect current developments with earlier literary history, reminding all of us of the caveat with which this entry began, that "German" never really has meant from one place or tradition. The 2009 awardees provide further insight into the truly international origins of contemporary intercultural writing in German: Artur Becker (Poland), María Cecilia Barbeta (Argentina), and Tzveta

Sofronieva (Bulgaria). A particularly fine novel from a writer “with migration background,” as another current expression goes, is Emine Sevgi Ozdamar’s (Turkey) *Die Brücke vom Goldenen Horn* (1998, *The Bridge of the Golden Horn*).

German Jewish writers are not normally considered under the rubric of literature by foreigners writing in German. This intentional stance of postwar literary scholars is meant to counter, correct, and make amends for the Nazi belief that individuals who themselves or whose ancestors practiced the Jewish faith could not be considered Germans. Today’s literary historians count German Jewish writers as having been an integral part of German literature for centuries. An interesting reflection of this attitude can be seen on the cover of a reference work by one of Germany’s largest publishers, Deutscher Taschenbuch Verlag, *Lexikon deutschsprachiger Schriftstellerinnen* (1986, Dictionary of German Women Writers): a photograph of Gertrud Kolmar. Contemporary writers who have taken up issues of German Jewish identity in the novel include Robert Schindel, Barbara Honigmann, and Esther Dischereit. Rafael Seligmann (Tel Aviv) and Maxim Biller (Prague), who both immigrated to Germany with their parents at age ten, are usually also identified as German Jewish writers of the post-Holocaust generation. Of course this returns us to the main point of this section and ultimately of this entry.

SEE ALSO: Translation Theory, Yiddish Novel.

BIBLIOGRAPHY

- Adelson, L. (2005), *Turkish Turn in Contemporary German Literature*.
- Blackall, E.A. (1959), *Emergence of German as a Literary Language, 1700–1775*.
- Brandt, K. (2003), *Sentiment und Sentimentalität*.
- Brinker-Gabler, G., C. Ludwig, and A. Wöffen, eds. (1986), *Lexikon deutschsprachiger Schriftstellerinnen*.
- Demetz, P. (1986), *After the Fires*.
- Fischer, S. and M. McGowan (1995), “From Pappkoffer to Pluralism,” in *Writing Across Worlds*, ed. R. King, J. Connell, and P. White.
- Garland, M. (1986), *Oxford Companion to German Literature*, 2nd ed.
- Hirsch, M. (1997), *Family Frames*.
- Kontje, T. (1993), *German Bildungsroman*.
- Kontje, T. (1998), *Women, the Novel, and the German Nation, 1771–1871*.
- Konzett, M., ed. (2000), *Encyclopedia of German Literature*, 2 vols.
- Koopmann, H., ed. (1983), *Handbuch des deutschen Romans*.
- Morris, L. (2002), “Postmemory, Postmemoir,” in *Unlikely History*, ed. L. Morris and J. Zipes.
- Pascal, R. (1968), *German Novel*.
- Remak, H.H. (1996), *Structural Elements of the German Novella from Goethe to Thomas Mann*.
- Sagarra, E. and P. Skrine (1997), *Companion to German Literature*.
- Schärf, C. (2001), *Der Roman im 20 Jh.*
- Steinecke, H. (2003), “Roman,” in *Reallexikon der deutschen Literaturwissenschaft*, ed. J.-D. Müller, 2 vols.
- Steinecke, H. and F. Wahrenburg, eds. (1999), *Romantheorie*.
- Teraoka, A. (1996), *East, West and Others*.
- Watanabe-O’Kelly, H., ed. (1997), *Cambridge History of German Literature*.

Gothic Novel

NANCY ARMSTRONG

Ever since the publication of Horace Walpole’s *The Castle of Otranto* in 1764, arguably the first gothic novel, readers have considered gothic fiction hostile to the form and function of the novel proper—and why shouldn’t they? A novel like Jane Austen’s *Northanger Abbey* (1818) makes out-and-out fun of gothic devices and their disregard for the kind of world educated people consider real and normal, while any number of Victorian novels—e.g., Sir Walter Scott’s

Waverley (1814), Charlotte Brontë's *Jane Eyre* (1847), Wilkie Collins's *The Woman in White* (1860), and virtually all the novels of Charles Dickens—use these same gothic devices to question just how real REALISM actually is. We tend to call a work of fiction “gothic” only when its literary devices encourage us to entertain possible alternatives to conventional, everyday reality, whatever that may be. But when novels assure us that such an alternative is artificial or delusional in relation to the world we should consider real, it is a safe bet that the novel will be using gothic conventions to challenge, even update, but ultimately confirm the reigning notions of what distinguishes self from other, subject from object, and life from death—distinctions that have organized so-called “reality” since *The Castle of Otranto* first appeared. In view of the fact that the literary devices we classify as gothic have proved as durable as the novel itself, it seems only reasonable to consider them essential both to the GENRE and to its claim to realism.

Hooked as she is on the novels of Ann Radcliffe, the protagonist of Austen's *Northanger Abbey* earns her maturity by renouncing the tendency to look for the same thrills in daily life that she experiences in gothic fiction. After humiliating Catherine for considering the abbey owner capable of the same violent disregard for person and property with which Radcliffe's Montoni regards the hapless Emily St. Aubert (1794, *Mysteries of Udolpho*), Austen admits that Catherine's reading has attuned her to the heartless cruelty of the man's materialism that fiction could not have conveyed in the language of the everyday. General Tilney deserves to be equated with Montoni because of the father's despotic disregard for the hopes and desires of his dependents. But by putting those desires in the service of his own greed, as Austen's narrator points out, the General has intensified the very desires he tried to block, convincing us that Catherine

and Henry are very much in love. Austen not only ridiculed the gothic excesses of gothic fiction but also used those excesses to create a preference for the everyday.

WHAT IS GOTHIC FORM?

Of all the formal features that demand we read a novel as a work of gothic fiction, there is nothing like decrepit architecture—if not a castle, then a monastery, or ancient country house—to transport readers to a space at once liminal and archaic from which the average person could not emerge entirely unchanged. Dracula's castle in Bram Stoker's novel (1897) is one of the most over-the-top examples of such architecture. Jonathan Harker recounts the approach—past people making the sign of the cross, through a pack of howling wolves, and by sinister blue flames illuminating evil spirits at large in the surrounding woods—that brings him to “a vast ruined castle, from whose tall black windows came no ray of light, and whose broken battlements showed a jagged line against the moonlit sky” (chap. 1). But, Austen reminds us, not every example of ruinous architecture serves the purpose of a gothic castle. Nor, as Stoker proves, can gothic phenomena be confined to medieval architecture in disrepair; the same spell that reigns over Dracula's castle can as easily infiltrate a hospital, a respectable English home, or even a ship at sea (see SPACE). Indeed, wherever the vampire puts down a coffin-full of original Transylvanian soil, he retains the power to escape the confines of body and mind and bleed into others, human as well as animal, sweeping away all distinctions among them. In this respect, the gothic novel resembles its best-known villain, Dracula himself, in that both create a world within the so-called real world, a second world that overturns

realism's grammar of person, place, and thing.

Within a gothic framework, objects acquire a mind of their own that they do not have in the modern workaday world—as when, for example, a large helmet descends out of nowhere to crush the heir of Otranto—and subjects become susceptible to dreams, hallucinations, and occult forms of knowledge beyond the reach of normal consciousness. If protagonists from Ann Radcliffe's Emily St. Aubert to Stoker's Mina Harker are any indication, the whole point of collapsing objects into subjects is to convert everything within the gothic framework into extensions of a single will intent on further extending its dominion. The sense that the world we know is progressively falling under some kind of spell is the work of a narrative that moves contiguously from one person or thing to another, much like the eponymous Indian diamond in Wilkie Collins's *The Moonstone* (1868). Such a plot characteristically branches into many plots so as to spin a web of connections very much at odds with the everyday relationships among people and between them and their things. The result is a pervasive feeling of paranoia.

To think of a character as either a particular type of individual or a unique variation on such a type is to understand character as a coin of the social realm. But in order to “grow” into something different, for better or for worse, a character must have a metonymic susceptibility to link up with new things and people and incorporate some of their qualities (see FIGURATIVE). By virtue of this principle, Charlotte Brontë gives Jane Eyre new attributes each time Jane moves to a new location, abandoning old connections for new ones. The Jane of Thornfield Hall is consequently very different from the Jane of Moor House or of Lowood School. To be the memorable character that she is, however, Jane must main-

tain continuity among these various selves. Thus Brontë has her narrator cut a path through the web of associations to connect one Jane to another and attach them to a single body. In emphasizing the metonymic side of character, gothic novels necessarily obscure this path and put their protagonists' identity at risk. Matthew “Monk” Lewis's Ambrosio (1795, *The Monk*) and Charlotte Dacre's Victoria (1806, *Zafloya, or The Moor*) experience a transformation similar to that which Dracula's victims undergo, a transformation that severs their metaphoric connection via the body to an original identity.

While it is true that supernatural factors seem responsible for the extravagantly antisocial transformations of character one usually encounters in gothic fiction, it is also true that supernaturalism serves as a cover for alternatives to the normative forms of identity originating in the modern family. In Walpole's novel, a supernatural giant acts as the agent of the family to restore the castle to its rightful heir. In doing so, however, the appearance of the giant whips the members of the castle community into a frenzy, sends them circulating through secret tunnels and running roughshod over family protocols and hierarchies to create an organism which would, if rendered graphically, look much more like a circulatory system or network than a family tree. Such wholesale disruption of the old community has to happen before new relationships based on human differences and bonds of sympathy can form. For what Walpole calls a restoration of the family line turns out to be a transformation of the family structure. If we think of Dracula's ability to jump categories from man to woman and from human to animal as nothing more than a formal device that serves to call such boundaries into question, then it is not difficult to see Stoker's novel as an exaggerated version of the same event. Even as he brushes off this

event as “supernatural” in his conclusion, Stoker leaves us in a world that differs significantly from the world that existed prior to the vampire’s intervention: future generations have vampire blood in their veins and will be part vampire. When everyday reality resumes, as it does in most of these novels, human beings are in some way different than they were.

WHAT DOES GOTHIC FICTION DO?

To address this question, one must begin in the eighteenth century with Walpole’s *The Castle of Otranto*. In his “Preface to the Second Edition” (1765), Walpole claims to be following an earlier tradition of writing where “witnesses to the most stupendous phenomena, never lose sight of their human character” (10). Although this claim presupposes that inner lives are historically constant, the novel itself locks up stormy passions characteristic of early modern literature in a monastery and consigns these passions to the past, along with Manfred, the prince of Otranto and his wife Hippolyta. From the carnage emerge two solitary individuals who have learned to respect each other’s difference and to share that solitude. Radcliffe’s *The Mysteries of Udolpho* and *The Italian* (1797) use gothic devices to much the same effect, putting their protagonists through trials where the integrity of mind and body hangs in the balance and survives. In these cases, paranormal events that wipe out the differences essential to individuality ultimately produce individuals with minds of their own, minds that can govern even such emotions as terror that seem to bubble up through the body to transform the mind. From 1794 to 1818, the span of Austen’s career, gothic devices coalesced to form an extremely popular though somewhat disreputable subgenre of the novel.

It can be no coincidence that Austen’s self-enclosed social worlds with their carefully differentiated protagonists were produced at the same time as Dacre’s *Zafloya* (1806) and William Beckford’s *Vathek* (1797). Featuring libertine protagonists who circulate through various households, make connections promiscuously, and internalize attributes of foreign locations and dangerous liaisons, these protagonists lack the very qualities that situate individuals within the social categories of RACE, CLASS, and GENDER—even within humanity itself. Reading Austen in relation to her gothic contemporaries, we might see gothic placelessness as a threat that adds an edge to her protagonists’ desires. In developing its characteristically tangled network of relations, according to Franco Moretti’s *Atlas of the European Novel 1800–1900* (1998), the gothic novel creates a geographically and culturally larger and more heterogeneous world than the snug homes and familiar countryside that model everyday experience in domestic fiction. Like its signature feature, the castle, gothic novels immerse us in an artificial world where individuals hardly matter, an experience from which we can return to a world where individuals certainly do. Victorian fiction marks the end of this symbiotic relationship between realism and gothic fiction.

In Mary Shelley’s *Frankenstein* (1816), the monstrous embodiment of undifferentiated humanity escapes the castle and roams the countryside to pose a threat to humanity in general. The novel begins in the apartment where Victor Frankenstein articulates the parts of an indeterminate number of human beings as a single body and then brings that body to life. The liberal society exemplified by the Frankenstein family understands humanity as a community of irreplaceable individuals. In creating Frankenstein’s monster, Shelley reimagined humanity, living and dead, as parts of a single composite

body in which individuals count little if at all. Once she created it, her monster could not be contained even within the novel itself. Although the remorseful Frankenstein refuses to provide the monster with a female companion that might perpetuate his kind down through the generations, in conceptual as well as imaginative terms, the damage had been done. During the age of realism, gothic conventions made their presence felt within mainstream novels—in Simon Legree’s plantation in the American South (Harriet Beecher Stowe, 1852, *Uncle Tom’s Cabin*) and Benito Cereno’s circum-Atlantic trading vessel (Herman Melville, 1856, *Benito Cereno*), no less than in the festering tenements of Dickens’s London.

Although the outpouring of gothic fiction, strictly defined, peaked in the early decades of the nineteenth century, gothic tropes escaped their former generic containment and became an essential component of those Victorian novels aptly characterized by Henry James as “large loose baggy monsters.” Unleashed on the plane of everyday experience, gothic devices not only turn the household, schoolroom, and factory into prisons, torture chambers, and crypts. They also turn even the most self-disciplined individual into an indistinguishable part of the mass. Esther Summerson of Dickens’s *Bleak House* (1853) is no different in this respect from Stoker’s Lucy Westenra or Oscar Wilde’s Dorian Gray. Like the great works of Victorian realism, some of the most memorable examples of the late nineteenth-century ROMANCE revival—Robert Louis Stevenson’s *The Strange Case of Dr. Jekyll and Mr. Hyde* (1886), H. Rider Haggard’s *She* (1887), Wilde’s *Dorian Gray* (1891), and Stoker’s *Dracula* (1897)—feature protagonists who are caught up in and redefined by biological connections that override their every claim to individual autonomy, agency, and cultural distinction. At such moments, the gothic does its work by instigating fear of our own

inability to think, feel, behave, and act as individuals apart from the mass. At the height of its imperial enterprise, in other words, England began to imagine itself as a nation of individuals on the defense against the very populations Great Britain had incorporated.

Once we focus on the gothic element in what is usually regarded as Victorian realism, the continuities between a novel by Dickens and such prime examples of MODERNISM as Joseph Conrad’s *The Heart of Darkness* (1902), James Joyce’s *Ulysses* (1922), or Virginia Woolf’s *Mrs. Dalloway* (1925) suddenly leap off the page. Encounters with the dead and/or demonic in all three novels serve as the black hole of human potential around which their multiple plots twist and turn, as these novels struggle to translate what Conrad’s Marlowe calls “the horror, the horror” into the socially comprehensible forms befitting the plot of a novel. The form of some—though by no means all—fiction changes noticeably during the early twentieth century as modernists join Freud in reestablishing the traditional enlightenment distinction between subject and object on which modern individualism depends (see PSYCHOANALYTIC). His famous essay on “The Uncanny” (1925) draws on literature to show that gothic phenomena haunt the mature individual in much the same way that gothic plots and figures haunt literary realism. The formal innovations associated with modernism can all be understood as the grand but futile twentieth-century endeavor to contain within a single envelope of consciousness the metonymic propensity of the individual to become almost anything he or she can imagine. In attempting to shore up individual autonomy, these techniques acknowledge that individualism itself has already been called into question.

Nor is it possible to overstate the importance of gothic tropes in a contemporary

popular culture rife with animated architecture, teenage vampires, the alternative genealogies exposed in DNA, and dead and dismembered bodies that come to life in forms presaging the end of humanity as we know it. These forms dramatize the ease with which individual selfhood and agency are biologically co-opted to work against the qualities that supposedly distinguish us from what is not human, but their popularity has done nothing to make the most innovative contemporary novelists avoid them. In the late 1970s, Gilles Deleuze and Félix Guattari called attention to a tendency peculiar, they claimed, to “minor literatures,” the tendency to work metonymically across categories. Their case in point: Gregor Samsa, the narrator of *The Metamorphosis* (1915), whom Franz Kafka presented as always in between and on his way to becoming something other than human. This concept of “minor literature” can easily be extended from Kafka’s German Jewish fable to products of global Anglophone culture. Deleuze and Guattari themselves suggest that African American fiction works by similar rules; Toni Morrison’s *Beloved* (1987) would seem to support their claim. This is especially true of contemporary fiction, where we can see NATIONAL traditions of the novel giving way to a host of “minor literatures.” A novel like Nurrudin Farah’s *Links* (2003) features a protagonist who discovers that what he calls his “personality” is not up to the task of containing an identity stretched across the Atlantic and connected at points to alternative “roads” that would open rather than close what Deleuze and Guattari call the “parenthesis” of being.

Written from a retrospective position invoking a novel like Brontë’s *Jane Eyre*, Kazuo Ishiguro’s *Never Let Me Go* (2005) begins in a British boarding school for orphans. These children turn out to be human beings deliberately cloned from bodies that do not count and raised for

the sole purpose of “donating” body parts for those of us who need transplants. In such a world, individuality is clearly an illusion—nothing more than a bubble of consciousness crafted by a monstrous bureaucracy to keep us in our places—whether we inhabit bodies like those of Ishiguro’s clones, i.e., bodies that don’t count as individual bodies, or whether we are composed not so seamlessly of others. *Never Let Me Go* is only one of many indications that realism and gothic have changed places in today’s serious fiction, and gothic has acquired realism’s purchase on the real.

SEE ALSO: Adaptation/Appropriation, Bildungsroman/Künstlerroman, Definitions of the Novel, Ideology, Science Fiction/Fantasy.

BIBLIOGRAPHY

- Armstrong, N. (2005), *How Novels Think*.
 Botting, F. (1996), *Gothic*.
 Clark, K. (1962), *Gothic Revival*.
 Clery, E.J. (1955), *Rise of Supernatural Fiction, 1762–1800*.
 Deleuze, G. and F. Guattari (1986), *Kafka: Toward a Minor Literature*.
 Fiedler, L.A. (1998), *Love and Death in the American Novel*.
 Gamer, M. (2000), *Romanticism and the Gothic*.
 Punter, D. (1980), *Literature of Terror*.
 Schmitt, C. (1997), *Alien Nation*.
 Sedgwick, E.K. (1980), *Coherence of Gothic Conventions*.
 Smith, R.J. (1987), *Gothic Bequest*.

Graphic Novel

JARED GARDNER

The graphic novel is a book-length narrative utilizing sequential images and text. Beyond that simple definition, however, few commonalities can be presumed about the

form. Most graphic novels make use of the fundamental grammar of sequential comics, including dialogue balloons, panels separated by blank space, and connections between the panels (temporal, spatial, emotional, or symbolic) that must be forged by the reader. The comics theorist Scott McCloud has influentially described the work required of the reader in essentially filling in the space between the panels as “CLOSURE.” And just as the relationship between the panels is variable and by no means always transparent, so too is the relationship between text and image. Unlike in the ILLUSTRATED novel, where the image usually serves the text, in the graphic novel image and text are always in an uneasy collaboration, sometimes even working at cross-purposes in terms of the narrative information they convey. If there is one thing that the increasingly diverse range of graphic novels share it is their engagement with these gaps and tensions inherent in the form—gaps which other narrative forms (classical Hollywood cinema, for example) have often worked to smooth over.

The term “graphic novel” raises some fundamental challenges when considered in relation to the traditional novel form. First, it is not a term that many of its practitioners find entirely satisfactory. Creators often feel that it inaccurately privileges the literary or the textual elements of the form. And many remain uncomfortable with its increasingly widespread use as a marketing term, often used to lump together a range of texts of very different qualities and ambitions, including works of graphic autobiography and non-fiction. Yet, despite the limitations of the term (in many ways, akin to the older term “comic book” describing a form that is most often neither “comic” nor a “book”), creators and publishers have acknowledged its value as a way of describing the narrative ambitions of many contemporary comics, a form that even today many presume to be

puerile or nonliterary. It cannot be denied that the success of the term as a marketing device has helped make this work increasingly visible to new audiences (and of course the term “novel” was itself essentially a marketing term (see HISTORY).

The earliest use of the term “graphic novel” is credited to Richard Kyle, an early champion of the form and an importer of comics from Europe, where, especially in France and Belgium, there was already an established tradition of comics for adult readers. Kyle wanted to see creators in the U.S. push the medium in similar directions to what he saw in French and Japanese comics, and his coining in 1964 of the terms “graphic stories” and “graphic novel” was less an attempt to describe the state of comics at that moment than it was a call to arms to move the form beyond the superheroes, monsters, and teenage romance that dominated comics in the U.S. Kyle was by no means alone, of course, as many working in and around comics at this time were increasingly frustrated with the limitations of comic books, especially in the wake of the Comics Code of 1954, a system of self-CENSORSHIP designed (like the Motion Picture Production Code of 1934 in Hollywood) to forestall government intervention in the industry. The Code placed strict limits on comics in terms of content, further limiting potential audiences for comics to the youngest readers, and it greatly diminished opportunities for independent publishers and creators to succeed in the industry. The development of the term “graphic novel” emerged from similar energies to those which sparked the beginnings of the underground comix movement in New York and San Francisco at the same time.

If the term “graphic novel” originated in the 1960s in large measure as a way of marking a distinction with the increasingly regulated and juvenile comic book form, it was equally designed to distinguish the form

from the illustrated novel. As Kyle later wrote, “Comics are not . . . ‘illustrated stories.’ . . . Graphics do not ‘illustrate’ the story; they *are* the story” (qtd. in Harvey, 2005, 20). In terms of fundamental definitions of the form, this distinction is an important one. There are many examples of wordless or “silent” graphic novels, books that tell their stories entirely through images. On the other hand, there can be no such thing as a graphic novel without images. In an illustrated novel, the images supplement or support the text; in a graphic novel visual language carries at least an equal share in the meaning-making of a text, and usually more. As with the early comic strip and comic book forms, the graphic novel depends on what comics historian Robert C. Harvey has termed the “vital blend” of word and image, which together communicate in a way that neither could alone (2001).

The relatively late emergence of the graphic novel in the U.S. (almost a century after the widespread adoption of sequential comics in illustrated magazines and, later, newspaper supplements) stands in contrast to the history of comics in other countries. Book-length comics (*manga*) had been published in Japan since the early 1950s, and in France and Belgium *albums*—longer comics published in heavier stock covers and on quality paper—had been marketed since the late 1940s. During the 1920s and 1930s, there were several experiments with graphic novels, most notably the woodcut novels of the Flemish artist Frans Masereel. This in large measure explains why, unlike the more inclusive term “novel,” which was used to categorize narrative fictions across national borders and retroactively across centuries—Miguel de Cervantes Saavedra’s *Don Quixote* (1605, 1615) as a “novel,” for example—“graphic novel” remains primarily used to describe the contemporary history of the book-length comic in the U.S.

The graphic novel first garnered attention in 1978, when Will Eisner, one of the most influential pioneers in the birth of the comic book industry in the 1930s and 1940s, identified his collection of interconnected stories, *Contract with God*, as a graphic novel. Two years later, Art Spiegelman began serializing the story of his father’s experiences in the Nazi concentration camps, using mice to represent the Jews and cats as stand-ins for the Nazis. In 1986 Spiegelman published the book-length volume of *Maus*; the publication of the second volume in 1991 resulted in a Pulitzer Prize and began a slow but steady movement toward critical and cultural acceptance of the form that continues to this day.

Yet the very fact that it was *Maus* that serves as the foundation for the rise of the contemporary graphic novel serves to highlight another difficulty raised by the term. After all, *Maus* is not a work of fiction, and Spiegelman protested the *New York Times*’s classification of it as “fiction” on their best-seller list (*New York Times Book Review*, 29 Dec. 1991, 4). Many of the most influential graphic novels of the past generation—e.g., Marjane Satrapi’s *Persepolis* (2000–2003) and Alison Bechdel’s *Fun Home* (2006)—are autobiographies (see LIFE WRITING). “Graphic novel” has from the start been used to describe works that are explicitly *not* narrative fiction. For many of those working in the form, however, the ambiguities raised by the term “graphic novel” serve to highlight in productive ways the fictional aspects of all nonfiction and autobiography, and the non-fictional and autobiographical elements of all fiction. Increasingly, these overlaps and ambiguities have become central to the definition of the form itself (see GENRE).

With all the tensions described above, graphic novelists are for the most part eager to have it both ways at once. The same is true in terms of the cultural value of the form, as

many creators openly embrace a form that can be both “art” and “junk” (Benfer). It is in part for this reason, even as the graphic novel receives more attention and critical respect, that many creators continue to work in the comic book form as well, often serializing their stories over several years before collecting the various comic books into a graphic novel (see SERIALIZATION). The comic book form not only maintains the graphic novel’s genealogical connections to the forms of popular culture from which it continues to draw energy (serial traditions dating back to the story papers and dime novels of the nineteenth century), but it also allows creators to interact with their most devoted readers in a way that book publication does not. For example, one of the more ambitious ongoing graphic novels, Jason Lutes’s *Berlin: City of Stones* (1996–), is only a little more than half completed after more than a dozen years; another arguably more ambitious project, Eric Shanower’s *Age of Bronze*, (1998–) is around one-third complete after more than a decade. Many creators explicitly utilize the feedback from readers of the serialized comic books—letters, online discussion—to help shape the direction of their ongoing narratives. For their part, publishers remain committed to the comic book as a way of building a readership for the eventual graphic novel. Even as there are signs that the rise of the graphic novel has hurt sales of serial comic books, for now the majority of graphic novels are still first published in serial comic book form.

One of the most influential and ambitious graphic novels of the twenty-first century is Chris Ware’s *Jimmy Corrigan: The Smartest Kid on Earth* (2000). Ware serialized *Jimmy Corrigan* throughout the 1990s, not once, but twice: first, in the free weekly papers to which Ware contributed in his home city of Chicago and then in his serialized *Acme Novelty Library*. At each stage,

Ware was able to incorporate feedback and his own changing vision of the byzantine narrative, making revisions to the text for each new format.

Jimmy Corrigan moves back and forth across several generations of the tangled genealogy of the Corrigan family, focusing primarily on a contemporary protagonist and his grandfather, whose story takes place in and around the Columbian exposition of 1893. But the graphic novel also involves extended dream sequences and fantasies, as well as cut-out paper toys and trading cards. Ware offers few reliable guides to his reader in working through this long and challenging work, asking his readers to struggle along with his protagonists in attempting to make meaning out of the seemingly random messages, images, and ephemera of modern life and family history. If Spiegelman’s *Maus* showed that the graphic novel could engage with the most traumatic stories of modern history, Ware’s *Jimmy Corrigan* has demonstrated that the graphic novel could be as challenging and as ambitious as an experimental novel or avant-garde art form (see SURREALISM), inspiring younger creators (Paul Hornschmeier or Kevin Huizenga, for example) who previously might never have considered the graphic novel as an outlet for their vision.

Graphic novels are increasingly visible in mainstream book stores, in college classrooms, and on the “year’s best” lists (e.g., *Time* magazine recognized *Fun Home* as its best book of 2006). And this attention is well merited in terms of the range and quality of the work being produced in the form. Even the *New York Times*, which has historically been suspicious of comics even as its rivals embraced them at the start of the last century, has opened up its *Magazine* to serialized work by some of the most prominent graphic novelists of the day and its online *Book Review* to a regular column covering developments in the field.

The increasing range, quality, and prominence of the graphic novel must be attributed to several sources. First, this current “renaissance” is the product of a generation inspired by the liberating experiments of underground comix in the late 1960s and early 1970s and the remarkable achievement of Art Spiegelman (himself a veteran of that movement). Second, technological developments—most especially digitization and desktop publishing—have made the publication of black-and-white images increasingly affordable, allowing smaller presses to publish previously prohibitively expensive books and even encouraging an increasing number of graphic novelists to self-publish—e.g., Jeff Smith (1991–2004, *Bone*) and Terry Moore (1993–2007, *Strangers in Paradise*).

Finally, the graphic novel’s rise has coincided with the emergence of the personal computer and our increasing exposure to new image/text hybrid forms on the internet. Although the graphic novel remains for the most part an insistently handmade artifact, and thus very much apart from the “digital revolution,” its growing influence is deeply connected to the proliferation of image/text hybrid forms on the internet, television (the CNN “crawl,” music videos, etc.), and video games. As we increasingly tell our stories in combinations of text *and* image, the graphic novel—rooted in a form that has been telling stories using sequences

of text and image for more than a century—will likely have an increasingly central role to play in the decades to come.

SEE ALSO: Adaptation/Appropriation, Definitions of the Novel, Photography, Publishing.

BIBLIOGRAPHY

- Benfer, A. (2001), “Los Bros Hernandez Duet, with Kissing,” *Salon*, http://archive.salon.com/mwt/feature/2001/02/20/kiss_and_tell/.
- Chute, H. (2008), “Comics as Literature?,” *PMLA* 123:452–65.
- Gravett, P. (2005), *Graphic Novels*.
- Harvey, R. (1996), *Art of the Comic Book*.
- Harvey, R. (2001), “Comedy at the Juncture of Word and Image,” in *Language of Comics*, ed. R. Varnum and C.T. Gibbons.
- Harvey, R. (2005), “Describing and Discarding ‘Comics’ as an Impotent Act of Philosophical Rigor,” in *Comics as Philosophy*, ed. J. McLaughlin.
- Hatfield, C. (2005), *Alternative Comics*.
- McCloud, S. (1993), *Understanding Comics*.
- Pilcher, T. (2005), *Essential Guide to World Comics*.
- Sabin, R. (1993), *Adult Comics*.
- Versaci, R. (2007), *This Book Contains Graphic Language*.

Greimas, Algirdas Julien *see* Narrative Structure

Grotesque *see* Bakhtin, Mikhail

H

Hebrew Novel

TODD HASAK-LOWY

The unique features of the Hebrew novel, especially during its early stages, can be traced back to the unusual condition and evolution of Hebrew during the nineteenth century in Eastern Europe. Though never a dead language by any means, it had long since ceased to be a spoken language. By this time its use was restricted primarily to prayer and religious study, though more secular genres, such as business correspondences, travel books, and poetry, were occasionally composed in Hebrew as well. Over the course of the *Haskalah*, or Jewish Enlightenment (ca. 1770—1880), a small minority of Jewish men, who like many of their peers had acquired mastery of Hebrew through intensive study of the Hebrew Bible (i.e., the Old Testament) and its commentaries, began applying their knowledge of this language to the production of radically new types of nonreligious texts. Such study was essentially off limits to women. These assimilating and secularizing writers were intent on engaging the forms of contemporary European culture, including prose fiction. Hebrew, as a language with a long-standing, widely recognized aesthetic dignity among Jews and non-Jews alike, presented itself as an attractive alternative to their native Yiddish. Nevertheless, turning Hebrew into a language capable of meeting the linguistic

demands of the novel was a challenging project that lasted many decades. The first Hebrew novel—Abraham Mapu's *Love of Zion*—was published in 1853, but was little more than a pastiche of biblical phrases. By drawing extensively on rabbinical Hebrew, which has a much larger vocabulary and a more flexible syntax than its biblical counterpart, the novelist S. Y. Abramovitz developed the first viable Hebrew prose style in the last quarter of the nineteenth century.

Though Yiddish was often dismissed and disparaged by adherents of the *Haskalah* as a “jargon” emblematic of the traditional European Jewish life they sought to transcend, in practice the Hebrew novel emerged alongside and thanks to the parallel development of the Yiddish novel. Working in the comparatively better-equipped Yiddish, these writers, whether or not they aspired to write in Hebrew as well, imported the techniques, forms, and subject matter of nineteenth-century European fiction into a burgeoning modern Jewish culture that enabled the formation of a new Jewish public sphere covering large parts of the continent. Indeed, in many senses, and despite the fact that these two languages competed with one another throughout this period, Hebrew and Yiddish writing together participated in an intertwined, bilingual Jewish literature, something perhaps best illustrated by the trajectory of Abramovitz's career. Often called the grandfather of both modern

Hebrew and modern Yiddish prose, Abramovitz began writing in Hebrew in the 1860s, only to switch to Yiddish for a couple of decades in order to work in a language better able to accommodate the sociological concerns of his oeuvre. Then in the 1880s, Abramovitz, having forged a richer, more versatile Hebrew prose idiom, returned to the language, autotranslating much of his celebrated Yiddish oeuvre into Hebrew over the next twenty years.

Throughout this period, virtually all of these new Hebrew writers possessed considerable knowledge of a third language (such as Russian or German) in addition to Hebrew and Yiddish. This multilingualism played a crucial role in both the creation of a Hebrew language capable of meeting the linguistic demands of modern fictional prose as well as the production of a vibrant Hebrew literature, one complete with journals, printers, publishing houses, and, most importantly, an interested reading public. The development of the Hebrew novel in particular and modern Hebrew culture in general relied quite heavily on the TRANSLATION of popular European novels. In comparison to other European national cultures at this time, translations represented an unusually large amount of the creative work of numerous leading Hebrew writers. These writer/translators were driven to this practice for at least three reasons. First, these translations required the expansion of the still-impoverished Hebrew lexicon while also forcing the language to accommodate the syntactical and grammatical nuances and complexities common to the European novel. Second, the process of translation afforded these writers the opportunity to wrestle with and internalize the concerns and sensibilities of the genre, which after all elucidated the revolutionary transformations of nineteenth-century Europe for the larger gentile population. Third, the publication and dissemination of these transla-

tions enriched considerably the otherwise meager modern Hebrew library, thereby drawing and maintaining a readership which obviously had the option of turning to other literatures.

The trajectory of Hebrew prose in general and the Hebrew novel in particular departed from normative European paths in at least two additional distinct ways. First, because this fiction emerged belatedly, Hebrew writers encountered realist and modernist trends or modes simultaneously (see MODERNISM, REALISM). As such, the modernist fiction of influential writers such as U. N. Gnessin and Y. Ch. Brenner was written during the height of European modernism. Second, though Hebrew literature, like many other European literatures, came to be intimately tied to a nationalist movement (in this case Zionism), the first couple of generations of its writers lived and wrote in Europe, as this literature only migrated to Palestine during the first few decades of the twentieth century. As a result of the initially deterritorialized qualities of this uniquely ambitious literature many Hebrew writers advocated for a complete renegotiation of Jewish society—the Hebrew novel played an unusually central role in “imagining” the nation. The combination of these two qualities of the Hebrew novel gave rise to an atypical genre that was at once intimately tied to a revolutionary nationalist project and riddled with the sort of skepticism, subjectivism, and fragmentation common to the modernist novel. In this regard, the Hebrew novel, though born in Europe, more resembles literature produced outside Europe by various postcolonial national cultures.

During the 1920s Palestine became the undeniable center of Hebrew literature, which two decades later would become nearly synonymous with Israeli literature, although both YIDDISH and ARABIC literature would be produced there as well. By mid-

century, Hebrew prose was being written by European immigrants, chief among them Nobel laureate S. Y. Agnon, as well as writers born in Palestine and raised in Hebrew, such as S. Yizhar. In much less than one hundred years, the Hebrew novel had evolved from a somewhat deformed version of the genre—written against all odds for a few thousand European readers for whom Yiddish was their mother tongue—to a central component of a thriving national Hebrew literature produced and consumed more and more by native speakers who encountered and contributed to the revitalization of the Hebrew language as a whole. During the first few decades of statehood, the central strand of the Israeli novel tended to offer critical representations of the country as part of a highly ambivalent response to the realization of Zionism's central aim and the ongoing imperatives of state building. In the 1960s and 1970s, novelists such as Amos Oz, A. B. Yehoshua, and Yaakov Shabtai offered portraits anticipating and later documenting the decline of Ashkenazic (i.e., Central and Eastern European Jewish) Labor-Zionist hegemony in Israeli society.

While women writers came to comprise a larger and larger portion of Hebrew novelists, their tendency to focus primarily on the private and the personal—as opposed to the public and the national—experience of supposedly unrepresentative female protagonists led to their collective marginalization all the way into the 1980s. Similarly, Hebrew writers originally from Arab or Muslim countries, who immigrated to Israel during the first few years following independence in 1948, narrated a radically different encounter with Zionism and were also rendered to the margins of this literature until quite recently. Investigating and interrogating the complex ideological presuppositions informing the construction of the modern Hebrew canon, which privileged certain biographies, stories, settings,

and even styles, has been a central concern of scholarship on the Hebrew novel since the 1970s. Today, the Hebrew novel has come to include everything from Orly Castel-Bloom's postmodernist Israeli dystopias to Aharon Appelfeld's opaque Holocaust narratives to Sayed Kashua's understated representations of contemporary Arab-Israeli experiences, novels published in great numbers considering the still relatively small readership. The increasingly diverse Hebrew novel, now often written in an informal Israeli Hebrew fairly indifferent to the numerous historical layers out of which it was first created, continues to occupy a central position in a largely post-nationalist literature.

SEE ALSO: National Literature.

BIBLIOGRAPHY

- Alter, R. (1988), *Invention of Hebrew Prose*.
 Hever, H. (2001), *Producing the Modern Hebrew Canon*.
 Miron, D. (1987), "Domesticating a Foreign Genre," *Prooftexts* 7:1–27.
 Shaked, G. (2000), *Modern Hebrew Fiction*.

Heterodiegetic Narrator *see* Narrative Technique; Narrator

Heteroglossia *see* Bakhtin, Mikhail

Historical Novel

RICHARD MAXWELL

China offers the earliest substantial tradition of that problematic hybrid form, the historical novel. During the Ming dynasty (1368–1664), compilers and editors created fictionalized presentations of historical events. Some of these books, like the narrative of dynastic dissolution and revival *Three Kingdoms* (first known edition

1522), attributed to Luo Guanzhong, followed well-known historical sources with substantial faithfulness. Others, like the equally renowned *Water Margin* (various sixteenth- and seventeenth-century editions), attributed to Shi Nai'an and Luo Guanzhong, featured episodic tales of adventurous bandits in rebellion against the state and drew more copiously on oral sources. In both cases, raw materials were substantially reworked to produce books of celebrated formal complexity.

Three Kingdoms reveals what it means to make history into fiction. A conflicted historiographical tradition surrounded Liu Xuande and Cao Cao, two contenders for empire-wide power after the fall of the Han dynasty (206 BCE–220 CE). The Mao edition of *Three Kingdoms* (1660s), taken as canonical, accentuates Xuande's virtues, the strategic intelligence of his advisor Kongming, and Cao Cao's amoral trickiness. This treatment harks back to well-known legendary treatments. *Three Kingdoms* encourages fine, indeed casuistical, analyses of a long power struggle that mimes, in miniature, the cyclical unification and disintegration of China. Moral and political evaluations of figures like Xuande or Cao Cao grow out of an elaborate narrative context, partly adapted from chronicles, partly invented. The commentary to the Mao edition, almost as widely read as the novel, shows how to wrest judgments from this dense circumstantiality.

Military and political leaders claim to have learned from *Three Kingdoms*, but at times the book was considered dangerous or dubious. An eighteenth-century critic, Zhang Xuecheng, comments: "*Three Kingdoms* is seven-parts fact and three-parts fiction; this causes readers constant confusion over the peach garden oath . . . Even scholars and eminent men take such events as [real] precedents. . . . Fact and fiction should not be scrambled as they are in *Three Kingdoms*" (Moss Roberts, trans., 1991, *Three King-*

doms, 980n5). The peach garden oath is a chivalric pledge of loyalty between Xuande and two "brothers"—a figment of romance interpolated into a historical account. In Zhang Xuecheng's argument, the more accomplished and the more fluent a historical novel is, the more it corrupts unwary readers.

HISTORICAL FICTION IN FRANCE

French writers during the seventeenth century found elaborate, slippery ways to combine history with prose fiction. Madeleine de Scudéry's *Artamène, ou Le Grand Cyrus* (1649–53, *Artamène, or the Great Cyrus*) was prominent among the many "heroic romances" of its time (see ROMANCE). It follows the career of the ancient Persian king Cyrus as he searches the Middle East for his elusive beloved, Mandana. Scudéry's prefaces to *Cyrus* and to *Ibrahim ou l'illustre bassa* (1642, *Ibrahim, or the Illustrious Bassa*) highlight her historical research. Her account of Cyrus's siege of Sardis proves to be adapted from the Roman historian Sallust (86 BCE–35/34 BCE). In a second layer of reference, Scudéry's *Cyrus* evokes Louis II de Bourbon, Prince de Condé (1621–86), known as the Great Condé, the leading military hero of the mid-seventeenth century. On a third level, this huge serial novel anticipates the absolutist military machine constructed by Louis XIV (1643–1715).

A few years later, Scudéry's compendious romances gave way to the *nouvelles* and *nouvelles historiques* of Madame de Lafayette and her many admirers and competitors. In Lafayette's *La princesse de Clèves* (1678, *The Princess of Cleves*), history and fiction run on parallel courses. The sixteenth-century French court is miniaturized. The psyche of the Princess of Cleves, a naïve beginner in the game of love who suffers from *amour fou*, is enlarged and elaborated. Even if readers know what happened in history, Lafay-

ette creates suspense on a formal level. The question is not whether the princess belongs at court—she does not—but how her tale and that of the foundering French polity will intersect or illuminate each other. The book is full of odd, disorienting shocks, as when the duke of Nemours turns his attention from Elizabeth I of England (1558–1603) to Lafayette’s fictional heroine. Erotic love is the medium that binds history and fiction together, though the same unpredictable emotion eventually drives them apart.

The heroic romance is vast in size, extravagant in narrative elaborations, chivalric in ethos, and inclined to emphasize ancient rather than modern history. The *nouvelle historique* is concise, tragic, stoic, and inclined to emphasize more recent historical periods. Scudéry’s heroes are idealizations of famous kings. Lafayette’s heroines are idealized fictional figures. These two modes of mixing history with fiction could not be more different, yet eighteenth-century French novels often draw on both. A key instance is the extraordinary *Le Philosophe anglais, ou Histoire de Monsieur Cleveland* (1731–39, *The English Philosopher or the History of Mr. Cleveland*) by Antoine François Prévost, the memoirs of a supposed bastard son of Oliver Cromwell (1599–1658), who hides from his father during the period of the Commonwealth (1649–53) and becomes a supporter of Charles II (1630–85) while becoming involved in various Stuart intrigues. Prévost adapts the romance aesthetic of Scudéry, telling a story notable for its interminable, often fantastical variations on themes adapted from history, but the tragic bias of his tale, as well as the way he lets his fictional hero sidle in and out of the historical limelight, recalls Lafayette. Later eighteenth-century novelists on both sides of the Channel, such as François-Thomas-Marie de Baculard d’Arnaud, Madame de Genlis, Sophie Cottin, William Godwin, and Sophia

Lee, exploit the possibilities of Prévostian romance while offering, especially in Genlis’s case, an occasional tribute to the classical aesthetic of Lafayette. This French-dominated line of historical fiction persisted through the Napoleonic Wars (1793–1815).

Like the Ming historical novel, the French historical novel invites principled dissent. At the end of the seventeenth century, the Huguenot intellectual Pierre Bayle (1647–1706) formulated an ambitious program to demystify legends that had passed for history. Bayle proposed, only half-ironically, that historical and fictional sections in *nouvelles historiques* be demarcated so that the reader would never be confused about which was which. Throughout the eighteenth century, his cautionary remarks were amplified by other critics, giving the historical novel a bad reputation among the high-minded, the rigorous, and the respectable. Partly due to the lasting power of this controversy, the proportion of history to fiction in the French historical novel remains much lower than in *Three Kingdoms*.

WALTER SCOTT

Bayle’s close critique eventually lost some of its sting. It was Walter Scott’s *Waverley* novels, beginning with *Waverley* (1814), that did most to bring about this transformation. “You can’t see yourself in history, but that’s where you are,” notes a character in Martin Amis’s *House of Meetings* (2008, 34). From Scott onwards, the historical novel became a vehicle for this unsettling idea. A fictional and obscure protagonist blunders into a political or military crisis, encountering, before he is finished, at least one “world-historical figure,” to use Georg LUKÁCS’S Hegelian phrase. Having experienced and survived the crisis, the “*Waverley* hero,” as he is often called, comes into his patrimony and retires from the scene of

conflict. Throughout the adventure, however, history is experienced as a drama that unfolds as if in the reader's own moment, creating an engulfing illusion of proximity. Though based in regional or national lore, the illusion extends over continents (see NATIONAL, REGIONAL).

Scott's great subject is modernization. Borrowing from eighteenth-century "conjectural history," he used large-scale fictional narratives to argue that certain stages of civilization must in due course give way to others. This process is slow by nature but can, conveniently for the novelist, be represented as a sudden, traumatic event. The Waverley novels identify modernization with uncharismatic rulers and the rise of a capitalist economy. The modern world is less exciting, but it is more humane and certainly more practical than the cultures and the loyalties it replaces. Scott repeats this kind of story, but his narratives are less schematic than they look. His tales are full of local surprises. Moreover, even though most of Scott's books dramatize various forms of demystification—by which honor, kingship, and chivalry lose their glamour—much of his popularity hinged on a regret for all that is relinquished when modernity finally triumphs. The key case is the Stuart dynasty (1603–1714), whose romance, follies, and falls dominate Scott's fiction. Some of his Victorian readers supposed that he was sad about the decline of the Stuarts and absolutism and longed for their return. However, these readers were wrong.

The Waverley novels learn from Shakespeare's history plays; French historical fiction, including Scudéry, Prévost, and Cottin; Icelandic sagas, the closest thing in medieval literature to historical fiction; the Romantic genre of the National Tale; a tradition of antiquarian inquiry; and much else. One wonders what Scott would have made of *Three Kingdoms*. He would probably have found its preoccupation with the

conflicted logic of dynastic succession more engaging than its insistence on cyclical movements in history or the heroic role it allocates to courtly advisors. As Lukács shrewdly argued, Scott's "world-historical figures" gain their importance more as expressions of popular will than for any intrinsic significance.

Scott's novels found ardent imitators. It became a standard rhetorical ploy for a nascent national literature to claim its own Walter Scott. Bankim Chandra Chatterjee was thought during his early career to be "the Walter Scott of India." Scott's global influence was typically exerted through French intermediaries like the prolific translator Auguste Defauconpret. Scott's French admirers, above all Honoré de Balzac, Victor Hugo, and Alexandre Dumas, took their cue from his work (see TRANSLATION). Over the course of the nineteenth century writers around the world often chose to think of the historical novel as a form identified with Scotland and France.

The broadest, perhaps most significant after-effect of the Waverley novels was to legitimate symbiotic relationships between history and prose fiction. Scott's cumulative impact is felt in the magisterial ease with which Leo Tolstoy's *Voyná i mir* (1865–69, *War and Peace*) narrates the experience and effects of Napoleon's Russian invasion (1812). Symptomatically, *Voyná i mir* has its own Waverley hero, Pierre. Like Scott, Tolstoy implies that history is best communicated through fiction. Still, even he seems to admit limits to this principle, since his novel also features an analytical, historiographical appendix where pretensions to storytelling drop away. Alessandro Manzoni's *I promessi sposi* (1827, *The Betrothed*) is one of the few nineteenth-century historical novels to match *Voyná i mir* in ambition and accomplishment. *I promessi sposi* absorbs huge masses of archival research into its fictional plot, but then, at the end of the

1842 edition, fiction is abandoned altogether in a remarkable historical and historiographical supplement, *Storia della colonna infame* (*The Column of Infamy*). Manzoni's treatise *Del romanzo storico* (*On the Historical Novel*), published in 1850 after the author had worked on it intermittently for a quarter-century, gives systematic expression to Manzoni's worries about fiction—history relationships. Having expected the historical novel to do everything, to embody truth, the author now begins to wonder if it has any validity at all.

By the end of the nineteenth century this loss of faith had become more general. Scott and the genre of historical fiction had lost much of their old prestige, especially in Anglophone countries. But the form soon attracted new adherents. In England, *The Corner That Held Them*, Sylvia Townsend Warner's 1948 masterpiece, dispensed altogether with historical figures in favor of an unsparingly savage narrative about the workings of a medieval nunnery. John Cowper Powys's *Porius* (1951, in full 1994) managed to combine the aesthetic of the Waverley novels with Joycean techniques. In contrast, two left-wing German writers, Lion Feuchtwanger and Heinrich Mann, recast the historical novel biographically.

THE RECENT PAST

Even where indirectly concerned with the present, these twentieth-century novels put their energy into evoking a rather distant past. The alternate possibility, presenting a past that was only yesterday, produced its own, somewhat smaller share of outstanding books. Vasily Grossman's *Life and Fate*—confiscated when finished in 1960 and first published in the West in 1980—benefited from its Russian author's experiences as a war correspondent at the siege of Stalingrad. In Senegal, Ousmane Sembène's

Les Bouts de Bois de Dieu (1960, *God's Bits of Wood*) narrates a railway strike of the late 1940s. In Kenya, Ngũgĩ wa Thiong'o's *A Grain of Wheat* (1967) deals with the Mau Mau uprising (1952–60). Both these African novelists offer sharp, comprehensive analyses of collective action. Both explore a past whose immediate consequences are unfolding as they write.

Another development, especially noticeable during the last few decades, are the drastic claims made by theoreticians and philosophers about the ways history is permeated by fictional devices and rhetoric. Their claims have been fiercely resisted. In this often bitter intellectual atmosphere, historical fiction seems once more as daring and transgressive as it did to Bayle in the eighteenth century rather than an inescapable norm. In the decades after WWII (1939–45), the international fashion of MAGICAL REALISM, exemplified by Alejo Carpentier, Günter Grass, Gabriel García Márquez, and Salman Rushdie offered one way to create a fresh, startling kind of historical novel. Moreover, some experimental works by historians, such as Natalie Zemon Davis's *The Return of Martin Guerre* (1984), offer their own sort of history–fiction mix, somewhere on the border between educated guesswork and free narrative invention.

For all the success of the modernist, journalistic, and magical historical novel, as well as transgressive works by actual historians, not everyone has broken with the older traditions of the GENRE. One recent Asian development embraces the model of the Romantic historical novel with particular enthusiasm. The most popular historical novelist in postwar Chinese literature is the Hong Kong newspaper magnate Louis Cha. Cha's latest, perhaps best-known, fictional work is *The Deer and the Cauldron*, first published in his newspaper, *Ming Pao* (1969–72). As with most of his earlier books, *Deer* is set during the mid-seventeenth cen-

tury after the fall of the Ming dynasty and before the firm establishment of Manchu rule (1644–1912). *Deer* draws on the great Ming novels, as well as their Qing successors. Yet the book's relation to Western conventions of historical fiction is also strong. Cha synthesizes the strengths developed by nineteenth-century French and Scottish historical novelists, yet manages to do so without neglecting a formidable Chinese heritage. His is a comprehensive, imaginative version of a genre that has long aspired to global meaning and global currency.

SEE ALSO: Modernism, Serialization.

BIBLIOGRAPHY

- Duncan, I. (2007), *Scott's Shadow*.
 Fleishman, A. (1971), *English Historical Novel*.
 Hamm, J.C. (2005), *Paper Swordsmen*.
 Lukács, G. (1983), *Historical Novel*, trans. H. and S. Mitchell.
 Maxwell, R. (2009), *Historical Novel in Europe, 1650–1950*.
 Moretti, F. (1998), *Atlas of the European Novel, 1800–1900*.
 Sanders, A. (1979), *Victorian Historical Novel 1840–1880*.
 Trumpener, K. (1997), *Bardic Nationalism*.
 Welsh, A. (1992), *Hero of the Waverley Novels*.
 Yu, A. (1988), "History, Fiction, and the Reading of Chinese Narrative," *Chinese Literature* 10:1–19.

History of the Novel

DEIRDRE SHAUNA LYNCH

Histories of the novel—accounts that trace, variously, fiction's beginnings, progress, rise, and setbacks, that nominate particular candidates for the title of "the first novelist," or that identify these pioneers' most important or representative successors—began to be written in England, France, and China in the seventeenth and early eighteenth centuries.

A boom in the authoring, reading, and marketing of fiction was then commencing both in Western Europe and East Asia, and histories of the novel, I will suggest, often serve to manage and police such booms. These histories increased in number and were harnessed to new socio-political ends after the nineteenth century. That was when the novel became, with history-writing itself, one "sign of the modern," and when every nation-state that aspired to participate in the world literary system was pressured to display evidence of a well-rooted tradition of narrative fiction (N. B. Dirks, 1990, "History as a Sign of the Modern," *Public Culture* 2:25–32).

The histories did not only assist in the canonization of particular works of fiction—though the earliest, like Pierre-Daniel Huet's 1670–71 *Traité de l'origine des romans* (*Treatise on the Origins of Novel/The History of Romance*) or Feng Menglong's 1620 survey of the lineage of Chinese fiction, first appeared as prefaces that vouched for newly written texts, Madame de Lafayette's *Zäyde* (1670) and Feng's own *Gujin Xiaoshuo* (1620, *Stories Old and New*), respectively. They also, more comprehensively, assisted in narrative fiction's elevation in the hierarchy of literary genres. Being endowed with a pedigree helped narrative fiction, in all its unruly plurality, become "the novel" and acquire the respectability and literariness that in the nineteenth century elevated it above the print market into the territory of art.

NOVEL AS HERO

The conventions for emplotment that novelists and historiographers of all stripes ended up sharing after the early nineteenth century were predicated on a modern notion of TIME as a medium that sponsored meaningful change—not empty succession (one

thing after another), but development and growth. While using this plotting, histories of the novel have often entertained a kind of personification of the object of their study. Numerous nineteenth- and twentieth-century literary histories assign to the novel just the storylines that novels typically assign to their own protagonists. They write a sort of novel about the novel. In such schemes, novels, too, are young once, grow up, and even settle down, passing from bastardy to cultural legitimacy. Insinuating itself among established genres like the EPIC and drama, the parvenu—a “lusty young form”—makes good: it leaves behind its humble beginnings (R. Burton, 1909, *Masters of the English Novel*, 9). Commenting on Ian Watt’s *The Rise of the Novel* (1957), Margaret Reeves has thus noticed, amidst Watt’s engagement with the achievements of the three eighteenth-century English authors spotlighted by his subtitle, instances within *Rise* “of syntactical slippage . . . where the novel itself displaces these three writers as the grammatical subject, and an abstraction [‘the novel’] designating a generic category becomes situated both grammatically and conceptually as the active agent of its own development” (2000, “Telling the Tale of the Rise of the Novel,” *Clio* 30:36).

Considerable narrative interest attaches to a literary history framed as a story of how a hero finds his identity by rising above challenges—as with, for instance, Watt’s account of how in the eighteenth century the striving young novel needed to contend with various antagonists, among them, a lingering Renaissance belief in an unchanging Nature and the misguided expectations of the backward-looking figure that Henry Fielding called the “classical reader” (Watt, 248–59). But this practice of personification, and the attendant notion that the history of a form might follow the lines of a BILDUNGSROMAN, have served additional ends. To arrange, in Watt’s manner, for

Daniel Defoe, Samuel Richardson, and Fielding to disappear together behind “the novel” was a way to suggest, retrospectively, that this triumvirate had devoted itself to the same project of GENRE-foundation. That suggestion, however, elided the inconvenient fact that, although each claimed to have set up a new species of narrative, none considered his own species to be at all like the others’, and none called what he was doing novel-writing. Such framing suppresses heterogeneity. It bestows a transhistorical identity, a singularity, on a form remarkable for its formless plurality—one constitutively riven between the documentation of things as they are and the imagination of things as they are not, between art and popular culture, between the provision of mimetic representation and the provision of entertainment.

Concerned with more than the classification of literary kinds, discourses on a genre function as well to shape readers’ responses. Histories of the novel—of an entity which finally exists only through such mediations, in the institutions of commentary and transmission that produce and reproduce the form’s boundaries and create the audiences capable of observing them—regulate culture’s tremendous investment in narrative fictions and in the entertainment and instruction they purvey. This is why histories are important: the project of recounting the form’s past and the project of policing the accounts of reality, or common life, or artistic value, or nationality that are at present being provided in its name are inextricably entangled.

The remainder of this entry treats some of the shifting attitudes that historians of the novel, from the seventeenth through the twentieth centuries, have taken toward the form’s categorical instability and polyglot multifariousness and some of the shifting strategies that these historians have adopted to make a shapely narrative from this in-

choate past. To that end, and while proceeding chronologically, it addresses the following topics: (1) the way that the earliest historians of the novel narrated history as the story of the transmission of an appetite for fiction and the story of the cultural contacts through which that transmission occurred; (2) the periodization schemes that these historians of fiction and their successors used as they linked the novel with new, modern times, and the conflicting accounts they gave of what the novel must have left behind in order to realize its generic potential; (3) the new insistence, shaping much nineteenth- and twentieth-century commentary, on articulating the novel and nationhood. A brief conclusion brings the discussion up to the present.

THE PROGRESS OF ROMANCE

As we will see in the later section of this entry that examines the linkages that nineteenth-century commentators forged between modern realist fiction and home truths, one familiar way in which histories of the novel have regulated the genre's constitutive plurality involves ensconcing the form within a national framework. What falls outside national limits has often been marginalized as somehow un-novelistic or not-yet-novelistic. When the story of the novel is presented as linear history that proceeds causally from predecessors to successors, and when realism is identified with native expression, the international dialogism that also shaped the literary past receives short shrift. Accounts of the "progress" of REALISM, its ever more fine-grained observation of obscure lives or individuals' psychic depths, can seem set up to occlude "progress" in the alternate sense of that term that involves not movement through time but movement ACROSS SPACE—the cross-border migrations of narrative via

translations and imitations (see ADAPTATION, TRANSLATION).

It is noteworthy accordingly that it was just this sense of *progress*—as designating diffusion across space—that centered many histories of fiction written in Western Europe in the seventeenth and eighteenth centuries. In these multicultural histories, the work of time is manifested not so much as change in the nature of literature but rather as a change of place. This—and these accounts' infrequent engagement with the formal differences defining and distinguishing genres or eras, their scrambling together of a mishmash of narrative kinds—means that to us they may not look much like literary histories at all.

The topic that linked histories such as those written by Huet in 1670–71, James Beattie in 1783, and Clara Reeve in 1785 was the westward journeying of the art of imaginative narration, often called "romance" or "roman": its commencement in the Orient, land of mystery and magic, genii and enchantments, and its transplantation to Europe as the Crusaders carried back with them "a large cargo of the fictions of the Arabian imagination" (Moore, 1:37). "The East," Anna Barbauld notes, "is emphatically the country of invention" (1:3). In presenting fiction as a machine for intercultural connection, these histories recycled the classical notion of the *translatio imperii et studii*: a scheme in which "culture" had been represented as a process of cultivation that unfolded, east to west, through the military conquests and commercial exchanges that over time had linked, variously, the Egyptians to the Greeks, the Greeks to the Romans, and so forth. Defining fiction more by its relocations than by its origins, these histories highlighted the shape-shifting that facilitated fiction's "transmission . . . from one part of the world to another and from one language to another" (McMurrin, 57). These histories also highlighted audiences'

desire for fiction. As assessed in this context, fiction was by definition about love—"The Persians first affected up this kind of amorous literature," Salmasius stated, introducing in 1640 a new translation of the ancient Greek romance, *The Loves of Clitophon and Leucippe* (qtd. in McMurrin, 58). Fiction was also itself a love-object, inspiring an attachment that, commentators maintained, spread globally like a contagion. Seventeenth-century prefaces that recounted in allegorical mode the successive retranslations of particular fictions reasserted that emphasis on spatial diffusion and emphasis on desirability. An English example from 1623 thus personifies the text it introduces as it recounts how the rogue-hero of Mateo Aleman's *Gúzman de Alfarache* (1605, *The Life of Guzmán de Alfarache*) wandered, telling his tale as he went, from Spain to France and thence to England to steal more hearts there. In this context, histories of the novel—or, to use the terminology of the day, of "the progress of romance"—recorded how a captivating form took "advantage of permeable frontiers" (DeJean, 175).

ANCIENTS VS. MODERNS

Yet the same histories that portray the globetrotting that fiction does as a constant in cultural history also in other passages lay out a scheme in which fiction is the product of an epochal break, its literary specificity predicated on the revolutions that terminate stable tradition and inaugurate dynamic modernity. The characteristic gesture of the historian as Michel de Certeau has described it—"separation"; "breakage"—is at work in this scheme. For de Certeau, history writing begins with an initial act of division, which severs past from present—as the historian assumes a gap to exist between the reality historiography seeks to express and the

place of its own speech—and that division is repeated and repeated until one has a chronology composed of a cavalcade of periods. Twentieth-century novel theory has internalized this logic of separation. Two architects of that theory, Georg LUKÁCS and Mikhail BAKHTIN, each associated the novel's advent with a "rupture in the history of European civilization" that had precipitated the end of the EPIC genre (Bakhtin, 1981, "Epic and Novel," in *Dialogic Imagination*, ed. M. Holquist, 11), and they diverged only in the way they assessed that rupture—Lukács writing in 1920 a melancholic account of rationalist modernity as disenchantment, Bakhtin in 1975 stressing, in a celebratory vein, emancipation from the narrow horizons of tradition (see Lukács, *Theory of the Novel*). Many histories of the novel written in the centuries prior to Bakhtin and Lukács subscribe to a comparable scheme. The consensus view, then as now, was that the novel emerged out of an abrupt break from the way things had been done in the past. Indeed, to establish a relation of continuity with what preceded it, it is implied, would have been alien to the novel's nature. And when seventeenth- and eighteenth-century commentators line up around the premise that the novel (or the romance/roman) should be understood as standing for the modern, and when they rigidify (with increasing enthusiasm) the distinctions between "old romances" and "new" that are founded on this premise, their accounts of the "progress of romance" begin to approach literary history as we know it now.

These writers did not always concur about what features of tradition the novel, as it pursued its destiny, would have to leave behind. Sometimes within these histories history-writing itself—"real" rather than "fictitious" "history"—occupies the role of the ancient "parent" from which modern fiction is meant to have broken away. Thus in

the early nineteenth century, Barbauld, in the essay she supplied to head up her multi-volume, canon-making collection *The British Novelists*, and Walter Scott in the essay on Romance that he wrote for the *Encyclopaedia Britannica*, each devised a parable about the origins of fiction that dramatizes this particular act of separation. Harkening back to an immemorial past, Barbauld and Scott made the first scene in the history of the novel one that involved the descendants of a great hero, the founder of a tribe, telling and retelling the story of their ancestor's heroic deeds. And they made the genesis of fiction a function of the alterations that would inevitably be introduced—from carelessness, vanity, and the desire to entertain—as these stories were transmitted aurally from one generation to the next. The premise about fiction's origins that this parable proposes is that, as time passes, what was history will become fiction.

More than half a century later, Scott's version of the parable would reappear, woven almost verbatim into the Japanese critic Tsubouchi Shōyō's influential essay, "Shōsetsu shinzui" (1885–86, "The Essence of the Novel," 52). That Shōyō, a student of English literature whose essay is balanced trickily between advocacy for the example set by realist novels newly imported from the West and a demonstration of the novel's deep roots in Japan, should find Scott's account of fiction's origins attractive makes sense. During Shōyō's day, the term that was being requisitioned as a designation for the novels entering East Asia from the West, *xiaoshuo* (a Chinese term that is rendered in Japanese as *shōsetsu*, in Korean as *sosŏl*) had been associated, for centuries, with a narrative kind that had appeared on the scene just as "the tradition of historical writing began to weaken" (qtd. in Zeitlin, 255). The latter was just the proposal about periodization that, back in 1620, Feng Menglong

had floated in the preface to *Stories Old and New*, where that Chinese author had outlined his own hypotheses about fiction's origins. As that proposal suggests, the topic of the *xiaoshuo* lent itself with remarkable ease to historiographical narratives that could be framed in terms parallel to those organizing contemporaneous European narratives about the novel's genesis: either narratives in which novels appeared on the scene to remedy the shortcomings of history, or alternately—since *xiaoshuo* originally designated matter deemed unfit to be included into the official history of the state, because of its association with the weird or the common or the homely, with vulgar gossip and hearsay in the streets—narratives organized around the rags-to-riches ascent of a once-despised form. Shōyō's recontextualization of Scott's parable within an account of the standing of the novel in nineteenth-century Japan demonstrates nicely how stories about fiction's deviation from the history to which it was originally kin could actually lay the groundwork for a rapprochement between the two practices of writing. In this style of account, the novel's movement in modern times toward realist mimesis can represent one way that such a rapprochement is achieved: and indeed, in his essay Shōyō suggests that the progress of the novel lies and will continue to lie with its honing of the mimetic powers that have allowed it to do the work of "supplementing official histories" (91–92).

FEMININE VS. MASCULINE

Within seventeenth- and eighteenth-century European accounts of the progress of romance, the epic, as well as real history, was liable to be identified as the foil for fiction. (Fielding famously identified his

compositions as comic epics in prose, in his 1742 *Joseph Andrews*.) The epic too could be cast as the “parent” form from which the novel had broken away, the form fated to be superseded by the advent of modern, “novelistic” times. However, when, prior to the nineteenth century, commentators on fiction’s origins slotted the epic into the role of the novel’s significant other, it was for different reasons than those motivating Lukács and Bakhtin, different not least because the earlier commentators drew on a historiography that cast sexual politics rather than CLASS politics as the determining factor in the creation of literary modernity. Epic was defunct, some commentators contended: the relations between the genders had altered drastically since the days of Homer and Virgil, when women were men’s chattels, rather than their companions, and when feats of military might alone were deemed worthy of narrating. Although there was no disputing that the writers of Augustan Rome had supplied posterity with “many models of composition in other branches,” it was a black mark against them, an English historian contended in 1771, that they had “left no work of imagination, describing the manners of their own countrymen, in which love is supposed to be productive of any . . . very serious effects” (Millar, 155). To do justice to modern times what was needed was a body of narrative that, altered in both its content and its address, gave love and female readers their due.

This style of historiography thus both explained the popularity of novels, making them a sign of a properly civilized world, and dictated what novels ought to be like. Seventeenth-century France was the site where the *roman* (novel/romance) had been brought to perfection, Huet had previously asserted in his *Traité*. (The assertion was a salvo in the disputes being fought out

in France at that moment between the champions of the literary authority of the Ancients, and champions of that of the Moderns, as well as an expression of a patriotism somewhat gainsaying the emphasis that Huet had placed elsewhere on the cosmopolitanism of fiction.) The reason for his compatriots’ success was, Huet contended, that the conversation between men and women was more free in France than anywhere else or at any other time. The explanation proposed a reciprocal relation between feminine influence and the attainment of literary modernity.

As the account above of Shōyō’s recycling of Scott has already intimated, later historians would, in part by virtue of their increasing tendency to see realism as the novel’s *raison d’être*, take a different, dimmer view of the particular epoch in the history of fiction that Huet references. Later historians often represented the writing produced in seventeenth-century France—in a culture presided over by women (Madame de Lafayette and Madeleine de Scudéry particularly)—as a false start or sag in the novel’s rise. The novel’s real history could only commence, many implied, with the form’s secure masculinization. Voltaire in France, and then, in a later version of this argument that was centered on Britain, Scott, were each lauded for helping the novel get back on the right track. For these authors had, as Voltaire’s eulogist declared in 1779, “taken the empire of the novel from women” (qtd. in DeJean, 163). Feminine influence was also deemed unfortunate in other cultural locations. Because in the era of Murasaki Shikibu’s *Genji monogatari* (ca. 1010, *Tale of Genji*) “native writing had fallen largely into the hands of women,” this writing “lacked the spirit essential to literature,” Tagachi Ukichi complained in 1877 (qtd. in T. Keirstead, 1995, “The Gendering and Regendering

of Medieval Japan,” *U.S.-Japan Women’s Journal* 9:80).

As the representation of the past as a sequence of distinct periods became an established feature of history-writing, according to that disciplinary logic that de Certeau outlines, writing up the story of the novel became in some measure a matter of identifying the turning points between one period and the next. (Periodization itself has been read as a legacy of the Quarrel between the Ancients and Moderns, which in calling into question the agelessness of classic writing, laid the ground for new accounts of historical discontinuity.) Various candidates in the European novel’s history—Voltaire and Scott included—have been credited with ushering in a new era and advancing their genre’s fortunes. De Lafayette did figure in this guise for Barbauld in 1810 and John Dunlop in 1814: her *Princesse de Cleves* (1678, *The Princess of Cleves*) formed an “era” by modeling for its successors how novels should attempt to please, not by “unnatural or exaggerated representations,” but by “the genuine exhibition of human character and the manners of real life” (Dunlop, 366). Surveying histories of the novel can make one realize how much it matters who the historian selects to serve in the role of vanguard of the new. To gloss over *La Princesse* and slot Miguel de Cervantes Saavedra’s *Don Quixote* (1605, 1615) or Defoe’s *Robinson Crusoe* (1719–22) into the role of “first novel” could serve as a way to peg the form’s fortunes to a story of class rather than gender. This is part of what is happening when *Don Quixote* is said to occasion through its satire the death of “the old Romance” and the birth of a new kind in which Fiction descends “to the level of common life [and] converse[s] with man as his equal”—or when *Crusoe* is read as an announcement of bourgeois revolution, a “severe emanation of the middle class” welling up amidst “the splendid corruption of

high life” (J. Beattie, 1783, “On Fable and Romance,” in *Dissertations Moral and Critical*, 2:307; Taine, 3:257).

ART VS. LIFE: REALISM’S HOME TRUTHS

This understanding of history as a structure anchored by a succession of turning points came to the fore as progresses of romance were replaced by what may, in fact, properly be deemed progressive histories. These conceptualized the novel as moving through time—“rising,” in fact—rather than through space. Downplaying fiction’s capacity to entertain, downplaying the internationalism spotlighted by earlier writers, and downplaying the access to other worlds that fiction grants readers, while playing up the access it grants them to this one, these histories by and large identified realism as the engine that drove the novel forward along that evolutionary axis. Often in gendered terms, they identified propensities for fantasy or sentimentality as the cause of the occasional episode of regression.

Certainly, other options for describing the form’s life in time have been possible. For instance, well into the nineteenth century, the novel’s advance was pegged to writers’ increasingly careful observance of protocols of modesty and delicacy. Some histories were organized, in a scheme that downplays teleology, so as to record series of dialectical oscillations between realistic and romantic movements (or “romance revivals”), between realism and idealism, or between novels “of character” and novels “of incident.” But Whiggish histories written under the sign of realism increasingly dominated critical discourse from the mid-nineteenth to the mid-twentieth centuries, and, notably, where discussions of British fiction particularly were concerned, such writing was shaped decisively by assertions

of historical discontinuity and denials of historical interconnectedness. Those priorities reflect the fact that, within the Anglophone context, *romance* by the early nineteenth century ceased to be a term interchangeable with *novel*. It came instead to designate the antecedent form from which the novel had broken to realize its identity. (Other European literary languages have never needed to mark that distinction: *roman*, like *romanzo*, covers the predecessor and the successor form alike.) This same semantic shift also facilitated the process by which the nation became naturalized as the framework for historians' analyses. In part this was the logical consequence of the emergent presupposition that the novel's fundamental aims involved mimesis, rather than entertainment, and that what novels had to do to be novels was to represent in realist terms the life and manners of the local group. Novels as such came, increasingly, to be seen as speaking for particular, bounded territories and conveying their home truths. By contrast, *romance* was elsewhere, as well as else-when. This was because *romance* also came to designate in England the kind of narrative that might suit readers on the benighted Continent, France especially: a site where affectation remained the rule within cultures that were still dominated by their courtiers, and where, accordingly, readers remained unaware that the primary demand that they should make of a fiction was that it should be "realistic." More and more frequently, the novel was presented as something that the English had practically patented, because, according to a circular logic, it was understood to have been the vehicle in which the middle-class, democratic culture of Protestant individualism particular to eighteenth-century England found its voice. "The great inventors in novel-writing wrote in English," claimed Charles William Eliot, justifying in 1917 the English-heavy selection he had made for the

The Harvard Classics Shelf of Fiction (1917, 1:i). Forty years later Ian Watt could take this premise for granted. Realism's global ascent was uneven. Other nations were described as having to play a game of catch-up.

The flaws lurking within such arguments become evident, however, when one recalls, for instance, that a scant eleven years before Watt published *Rise*, Erich Auerbach had tracked in *Mimesis* the long history of the democratization of style, and so made Stendhal, Honoré de Balzac, and Gustave Flaubert a culmination of his story of realism, while excluding their contemporaries in England. Victorian critics, for their part, however, tended to find the French realists' commitment to empirical precision "morbid" or "materialistic." They thought that nineteenth-century English novels, by contrast, proved that lifelike characterization and a rejection of *romance* extravagancies could be combined with moral purpose. The criteria that present-day critics employ, as we strive even harder to make the history of the novel follow the linear lines of a "rise," makes that blithe intertwining of realism and idealism baffling. According to our criteria, those Victorian critics had their own catching up to do.

Still, such complications notwithstanding, the historiographic consequences of the arrangement that produced two genres, novel and *romance*, where earlier commentators had seen one, were plentiful. On the one hand, that the question of the origins of the novel was being refocused through a national lens meant that the early English novel came to be redescribed as the product of distinctively English influences. In its nascent realism, it had less and less to do with precursor texts written in seventeenth-century France or Spain. It was cut off as well from prose fictions written before Fielding's and Richardson's works of the 1740s, many of them female-authored. Recategorized as *romances*, these fictions were now consigned

to the novel's prehistory. On the other hand, strangely enough, the parochialism underwritten by this habit of segregating novel from romance actually traveled. When in Meiji Japan, Shōyō set out to convince his compatriots to value the novel as a form fit to "attract men of discrimination rather than to entertain women and children," he identified, as an obstacle to just that assessment, commentators' insufficient rigor in distinguishing novel and romance. Making this argument, Shōyō adopted the term *romance* wholesale from English, without bothering to dig up a Japanese term (87). Literary history for Shōyō, as for numerous others, was supposed to be a register of the discriminations of taste and intellect rather than of the desires incited by the vulgar entertainment of a plot. His scheme requires a novel/romance distinction because in it the "true novel" looms over popular fictions—lachrymose melodramas, the translated detective fictions currently entering Japan in droves—that readers actually read (J. Zwicker, 2006, "The Long Nineteenth Century of the Japanese Novel," in *The Novel*, ed. F. Moretti, 1:593).

In 1894 Walter Raleigh celebrated the readiness of Defoe and other early eighteenth-century Englishmen to form their style under influences far removed from romance. Those men recognized, Raleigh stated, that inspiration could be taken from the life of the people—and from artless writing close to that life, "whether . . . a broadside or a blue-book"—rather than from the pages of their "predecessors in . . . art" (1919, *The English Novel*, 109). Casting non-literary materials as the origins from which novels sprung helped Raleigh present English realist fiction as a homegrown product. This account also buttressed definitions of realism as hinging on a rejection of the mediation of art. For some scholars annotating the rise of realism, the novel needed to be apprehended as something that was as

close to "science" as it was to "art," which was why "there were no true novels until a prose suitable for scientific record . . . was in common use" (Baker, 1:17). One way to sort out nineteenth- and twentieth-century histories of the novel is, in fact, according to how they identify the aim of novels' realism and the particular analogies that help them do that identifying. Did realism aim at objective delineation of humanity en masse? (Balzac's description of his *Comédie Humaine* as a natural history that would classify and exhibit the various orders of human beings may lurk in the background of Baker's comment above.) Was its goal "the propagation of altruism," as Richard Burton declared in 1909, ascribing an ethical import to the novel's mimetic commitments and subordinating those to fiction's capacity to arouse sympathy (9)? (One prevalent scheme had novels' realist evolution and nations' moral reforms advancing in tandem.)

REALISM IN AN INTERNATIONAL CONTEXT

In some histories, the telos toward which the novel should be evolving was the comprehensive picture of national life that realism's broad canvas afforded; realism was valued as an aesthetic of social cohesiveness. Arguing, by contrast, that such valuations invited tasteless amplitude and demoted novelists to the rank of journalists or statisticians, others histories, especially ones written in the wake of the modernist experiments of Marcel Proust and Virginia Woolf, made the form's progress contingent on an inward turn and a mimetic commitment to private psyches rather than social surfaces (see MODERNIST NOVEL, PSYCHOLOGICAL NOVEL). In mid-twentieth-century histories, the particularization of character was often named as the criterion by which fiction's evolution might

be measured. The novel's modern outlook was linked to the novelist's respect for human individuality in ways that were often meant to critique the Communist affinities of proletarian fiction. New pressures to mark the difference between the West's realism and the Eastern bloc's socialism prompted Anglo-American critics to link, for instance, Jane Austen's importance for the history of her form to her avoidance of "collective humanity," and to laud her backgrounding of the civic unrest of her times on the grounds that popular disturbance "gives abnormal importance to humanity in [the] gross" (M. Lascelles, 1939, *Jane Austen and Her Art*, 132).

Worth noting at this point are the particular narrative challenges with which, in the nineteenth century and after, historians of the novel outside the West have been obliged to grapple. Just when the realist novel became a universally prescribed form for speaking for the local cultures of the modern nation, just when its break from tradition-bound romance was being applauded most zealously, those historians found themselves in locations where the modernity that realism was supposed to mediate was often experienced as an imposition from without, rather than a development from within. Historians of the Japanese *shōsetsu* or the Chinese *xiaoshuo* or the Arabic *riwaya* have willy-nilly been obliged to negotiate the asymmetries of power that defined, and define, a global literary system, as this essay's references to Shōyō's "Essence of the Novel" have already suggested. If British colonial officers in India and Africa and missionaries in China brandished the realist novel before wondering native eyes as they performed their civilizing missions, and if, for different reasons, anticolonial nationalists in a range of imperial possessions perceived that novel as an advanced cultural technology that it behooved their nations to appropriate for themselves, it

fell to literary historians in those locations to counter the supposition that this involuntary embrace of Western modernity would render the past irrelevant. From a certain perspective, "the novel . . . 'colonized' preexistent narrative production; already existent modes of narrative production were . . . refashioned in the image of the novel" (Layoun, 10–11). Literary histories, however, have often carried out the cultural work of offering an alternate perspective, crafting counter-hegemonies with which to contest the hegemony of that triumphalist account correlating the rise and spread of the novel and of Western culture's technological, financial, and civic know-how. For a start, historians of fiction based outside the West have been able to place the forms of the nation's indigenous narrative traditions and the new fictions written with one eye on Western models together in a continuum.

In this way, they have emplotted their stories of the past in a way that can make it seem as if the new fictions, too, are organic developments of the national character. Shōyō can thus retroactively claim the *Tale of Genji* as an early instance of psychological realism, a "true novel," accordingly, and not, as he points out, a didactic work ancillary to religious doctrine (78). Certainly, some irony resides in the fact that the nineteenth-century resurrections in Persian and Arabic of *Alf Layla wa-Layla* (*The Arabian Nights*)—whose appearance in French and English translations early in the eighteenth century had previously confirmed the mappings that commentators had made of the origin and progress of romance—owed a significant debt to European fascination with fables of the East (Rastengar). That irony explains, in fact, the scorn the book's "frivolity" prompted among many commentators, also annoyed that this was the only Arabic text Europeans acknowledged. But this text, which had been borrowed

enthusiastically in Europe and later on made representative of the romance that Western realism perforce left behind, became evidence (having traveled eastward again in modern and postmodern times) refuting the premise that in the Middle East fiction could not possibly be anything but a borrowed form. Such rereadings of the past—and constructions of a usable past—of course remain critical at a time when “world literature” is still far from being a level playing field.

NEW HISTORIES

This represents, however, only one reason why the history of the history of the novel currently appears as a never-ending story. Scholars' investment in the history of the novel shows no sign of abating, in large part because the premise that this literary genre has the monopoly on cultural representativeness commands more assent than ever. On the one hand, the novel continues to demand historical attention because the form is perceived to provide preeminent opportunities for social representation to subaltern groups: we need histories, therefore, that track, e.g., the evolution of queer and feminist and African-American novels. On the other hand, the novel demands such attention because of its perceived ideological typicality. For practitioners of cultural studies, novels' status as the first mass cultural commodities (formerly an occasion for critical embarrassment) makes the form *the* site from which to survey the operations of modern social power: to comprehend what novels were, it is promised, will be to comprehend the hegemonic force of mass media at present. Earlier discussions of the synthetic social vision of nineteenth-century realism—e.g., Lukács's and Raymond Williams's *The English Novel, from Dickens to Lawrence*—likely prepared the

ground for this turn, which sees novel studies, in a fusion of formalist and sociohistorical critical aims, doing double duty as cultural analysis and sees its scholars reading individual texts as though they were ideological microcosms (see Hale). But in the era of cultural studies, realism has been regarded mainly as an ideological instrument rather than an epistemological or aesthetic one. We are to investigate its techniques because realist fiction's success in convincing its audience to extend credit to its representations has naturalized historically contingent arrangements of identity, assisting in the social construction and the policing of gender and sexuality, helping make the nation the dominant form in which communities are imagined and envisioned. Where mid-twentieth-century literary histories might have deciphered how the social relations of a given moment achieved expression in a text thanks to its mobilizing of realist codes, the new analytical paradigms tend to position these novels *in* society, as implements of social regulation and indoctrination.

No longer deemed external to the society it formerly seemed only to represent, divested accordingly of its reputation for ethical neutrality, realism also seems of late to have lost some of the aura of inevitability it had acquired during the nineteenth century. It increasingly seems an indefensible premise that writing follows a single evolutionary path, leading from romance to realism, from modernist experiments to postmodern METAFICTIONS. Since the late 1980s, accordingly, novel studies has dedicated a new energy to the investigation of counter-traditions. Thus, for example, in a recoil against the canon-making projects of an Ian Watt or F. R. Leavis (1948, *The Great Tradition*), recent accounts of the “rise” of the woman novelist and recent histories of gothic romances treat their objects as modern productions rather than as primitive fantasies that accidentally and regret-

tably survived into the era of the rational novel. And thus appear new speculations—that might well have caught the fancy of the early modern chroniclers of the progress of romance—about how an anti-mimeticism that bypasses the given world might contribute as much to narrative fiction’s cultural centrality as its commitment to the verisimilar.

Archival histories of the sort produced since the late 1990s often reveal, among other things, just how few texts it was once necessary to read in order to discern, as earlier historians of fiction urged us to do, the line of the Great Tradition, and so reveal just how big the residual category of the unread remains accordingly. Margaret Cohen, for instance, has drawn on reams of long out-of-print female-authored fiction so as to reenvision nineteenth-century French literary history through lenses provided by the sentimental novel. Where historians formerly discovered in that literary culture signs of an evolving realism, Cohen sees a series of gendered struggles over the novel-genre: realism was not the natural upshot of the novel’s evolution, she proposes, but emerged in the course of a hostile take-over by men of women’s sentimental practice (12).

I want to conclude with Franco Moretti who, building on Cohen’s scholarship, has recently proposed a mode of novel studies oriented decisively toward those reams of unread books and so toward “normal literature” rather than the minuscule canonical fraction of the literary field. The new historiography he projects would embrace the quantitative methods of sociologists and social historians (the global reach of world-systems theorists particularly); it would press into service the sales figures and statistics on distribution compiled by historians of the book; and, jettisoning close readings for the “distant” readings that alone can bring into visibility the contours of genres, it

would take a macro rather than a micro approach to its object (1998, *Atlas of the European Novel*, 50). The more often Moretti has implemented this new methodology, the more apparent it has become that the field may need to give up on the old impulse to personify the novel and narrate a bildungsroman about its quest for identity. For the data he has compiled tell of *many* rises—wave-like patterns, cycles—but nothing we can make add up to a recognizable storyline. Similarly, “the” English novel (the scare-quotes are Moretti’s own) emerges from the diagrams on which he plots his statistical findings not as a single entity evolving over time, but as a *system* that synchronically and diachronically holds together a plurality of conventionalized genres—such as courtship novels, gothic tales, sensation novels, and school stories (11). The novel is in pieces here, less than the sum of its subgenres. The dynamism that will carry novel studies into the twenty-first century is amply on display in Moretti’s scholarship. But his histories also suggest, contrariwise, that in the twenty-first century the survival of *the* novel, the protagonist whose shifting fortunes so many scholars chronicled over the years in their bildungsromane of the genre, may not be a sure thing.

SEE ALSO: Comparativism, Definitions of the Novel, Intertextuality, National Literature, Novel Theory (19th Century), Novel Theory (20th Century), Romance.

BIBLIOGRAPHY

- Baker, E. (1924–37), *History of the English Novel*, 10 vols.
 Barbauld, A.L. (1820), “The Origin and Progress of Novel-Writing,” in *British Novelists*, new ed., vol. 1.
 Cohen, M. (1999), *Sentimental Education of the Novel*.

- de Certeau, M. (1988), *Writing of History*, trans. T. Conley.
- DeJean, J. (1991), *Tender Geographies*.
- Doody, M.A. (1996), *True Story of the Novel*.
- Dunlop, J. (1814), *History of Fiction*.
- Hale, D.J. (1998), *Social Formalism*.
- Huet, P.-D. (1670), *De l'Origine des romans*.
- Layoun, M.N. (1990), *Travels of a Genre*.
- McMurrin, M.H. (2002), "National or Transnational?," in *Literary Channel*, ed. M. Cohen and C. Dever.
- Millar, J. (2006), *Origin of the Distinction of Ranks*, ed. A. Garrett.
- Moore, J. (1797), "A View of the Commencement and Progress of Romance," in *Works of Tobias Smollett*, vol. 1.
- Moretti, F. (2005), *Graphs, Maps, Trees*.
- Rastegar, K. (2007), *Literary Modernity between the Middle East and Europe*.
- Scott, W. (1834), "Essay on Romance," in *Miscellaneous Prose Works*.
- Shōyō, T. (1983), "Shōsetsu shinzui," trans. N. Twine, <http://hdl.handle.net/2451/14945>
- Taine, H.A. (1877), *History of English Literature*, trans. H. van Laun, 4 vols.
- Watt, I. (1957), *Rise of the Novel*.
- Zeitlin, J. (2006), "Xiaoshuo," in *Novel*, ed. F. Moretti, vol. 1.

Heterodiegetic Narrator *see* Narrative Technique; Narrator

Homosexuality *see* Queer Novel; Sexuality

Hypertextuality *see* Intertextuality

I

Iberian Peninsula

JOAN RAMON RESINA

Perhaps it is Mikhail BAKHTIN's definition of the novel as an internally dialogized form of discourse that most usefully helps to discriminate between forms of narrative with a view to tracing something like a genealogy of the novel in the Iberian Peninsula. Nearly every other criterion seems inadequate. For instance, Miguel de Cervantes Saavedra's famous insertion of literary criticism in the second part of *Don Quixote* (1605, 1615)—which Carlos Fuentes deemed the mark of the genre's modernity—hinges on self-reflexivity and thus on the distinction between REALISM and fantasy (see SCIENCE FICTION), but only retrospectively did literary histories associate this “realist” work with the emergence of a new genre called “novel.” Cervantes merely distinguished between good and bad books, qualifying his statements by employing contemporary criteria of style as well as plausibility. There is no point in sketching a précis of the history of the various Iberian literatures in the vernacular, which is something that only ignorance would attempt. Nor is it possible to outline long-term trends without great vagueness. The novel is a genre with many species and individuals. But, short of formulating a synthesis, it is possible, I believe, to recognize—in the various degrees of reality and fantasy, of object-directed and consciousness-directed discourse that make

the long history of Iberian narrative—the novel's remarkable mastery of a universe of discourse, in short, its heteroglossia (Bakhtin's term for this genre's refraction of the author's intention through multiple voices). The basic form of this refraction, dialogism, anchors the narrative in someone else's discourse, breaking up the object into linguistically mediated points of view, which, when fully developed, give rise to a polyphony of voices (see NARRATIVE PERSPECTIVE). The incidence and importance of this feature is my primary guide in selecting from the mass of narrative in five languages some landmarks of Iberian fiction in an unabashedly subjective manner, hoping to provide *one* account of the vitality of the novel in the Iberian Peninsula.

Portuguese literature has its beginnings in the twelfth century with the Galician-Portuguese *cantigas*, a form of performative lyric poetry, while Castilian literature is commonly believed to originate in the EPIC *Cantar de mio Cid* (*The Poem of the Cid*), a poem of uncertain origins extant in a fourteenth-century copy of a previous manuscript signed by a certain Per Abbat—probably another copyist—in 1207. The first book-length fictional narrative in Castilian is the *Livro del cavallero Zifar* (*Book of the Knight Zifar*), first redacted during the first quarter of the fourteenth century, a work combining the structure of ROMANCE with embedded tales of very diverse origins and exempla, proverbs, and *sententiae*, a

tradition that Cervantes reinserted into his tale of knight errantry through the overstated discourses of Don Quixote and the axioms of his oral culture counterpart, Sancho Panza.

The first novelistic text written in Iberian vernacular was Ramon Llull's *Livre d'Evast e d'Aloma e de Blaquerna* (1283, *Blanquerna*) written in Catalan. It tells of the Christian family origins and career of Blaquerna, a hero of the faith who moves up through the various stages of institutional religion, undertaking a (from Llull's standpoint) much needed reform of Christianity, until reaching mystical perfection as a hermit. First as member of a monastery, where he becomes abbot and uses his position to reform the monastic orders, then as bishop, a role that allows him to structure a city according to Llull's own religious utopianism, and finally as Pope, using his supreme authority to reform Christianity and to plan the conversion of the unfaithful, Blaquerna goes through the world like a religious adventurer to fulfill a divine mission. At each stage of his pilgrimage he implements Llull's model of a perfect (theocratic) society, one that fulfills humanity's original purpose in loving, knowing, and praising God. Llull's novel is the "realist" alternative to his century's monastic response to medieval romance, *La Queste del Saint Graal* (1225, *The Quest of the Holy Grail*). Indeed, Blaquerna is a more "plausible" incarnation of the knight of perfect faith, who transforms Christianity by reforming its institutions and founding, rather than finding, the New Jerusalem as a theocentric city-state. In Llull's doctrine, contemplation of the divine is subject not to the search for an elusive holy grail but to techniques codified in the two works written by Blaquerna at his hermitage: the mystical *Livre d'Amic e Amat* (*The Book of the Lover and the Beloved*) and the treatise *Art de contemplació* (*The Art of Contemplation*), a kind of self-help book

avant la lettre. After Blaquerna Llull wrote *Fèlix o Llibre de meravelles* (1288–89, *Felix*, or the *Book of Marvels*), a novel that was widely read in Europe during the Middle Ages, as was his *Livre de l'Orde de cavalleria* (1275–76, *The Book of the Order of Chivalry*), which William Caxton (1422–91) translated into English, making it favored reading among English knights of the Renaissance and probably known to William Shakespeare. Llull's teachings established an influential school of thought with links in Mallorca, Barcelona, Padua, Rome, and other locations in Italy, Germany, and Austria. His *Ars Magna* (also known as *Ars Generalis*), based on the idea of *mathesis universalis* or the ultimate rationality of the universe, influenced later thinkers, from Nicolas of Cusa (1401–64) and Giovanni Pico della Mirandola (1463–94) to Giordano Bruno (1548–1600) and Gottfried Wilhelm Leibniz (1646–1716).

In the late fourteenth century, the *Història de Jacob Xalabín* (*The Story of Jacob Xalabin*), an anonymous Catalan work, combined amorous and political preoccupations with Orientalist themes that would become fashionable in the second half of the sixteenth century in the *novela morisca* (Moorish novel), the best-known example of which is *Historia del abencerraje y la hermosa Jarifa* (1565, *The Abencerraje: or The Story of Abindarráez and the Beautiful Jarifa*). A distinctive feature of *Jacob Xalabín* is the incorporation of historical characters in an early display of the technique that Roland Barthes associated with the reality effect in nineteenth-century fiction. The same control of fantasy by reality makes the Orient described in *Jacob Xalabín* identifiable as the real Ottoman Empire, which the author appears to have known directly. The medieval Catalan novel—of which another signal example is *Curial e Güelfa* (*Curial and Guelfa*), a fifteenth-century romance displaying an

intricate use of materials and registers—culminates in *Tirant lo Blanc* (*The White Knight: Tirant lo Blanc*), penned by the Valencian writer Joanot Martorell around 1460 and published in 1490 with a conclusion attributed to Martí Joan de Galba. *Tirant* is one of the great European works of prose fiction, the best book in the world, in Cervantes's oft-quoted verdict. Featuring credible descriptions of the eastern Mediterranean at the time of the fall of Constantinople in 1453 and giving full scope to the body, Martorell undermined the idealism of the courtly romance and established a standard of fantasy tempered by the everyday. *Tirant lo Blanc* became a landmark for the rise of fiction governed by the principle of *imitatio vitae* or plausibility (see DECORUM). Through its humor and irreverence, its autobiographic component and its focus on the ordinary life of chivalric characters, it anticipates the tone of the modern novel.

The last quarter of the fifteenth century saw the rise of the sentimental novel, the most popular of which was Juan de Flores's *Historia de Grisel y Mirabella* (ca. 1475–85, *Story of Grisel and Mirabella*), which ran to fifty-six editions in several languages and served as a language textbook in quadrilingual editions. Today, the best-known example of this subgenre is Diego de San Pedro's *Cárcel de amor* (1492, *Prison of Love*), a story that anticipates the romantic theme of erotic passion frustrated by class differences and ending in the suitor's death. The love story of Leriano and Laureola is said to parody Ovid's *Ars Amatoria* (1 BC) in that Leriano's attempts at seduction are of no avail against society's barriers.

In the middle of the sixteenth century, two works in Castilian modulated the tradition of the novella, creating distinct narrative modes that were to become large tributaries of the novel. One was idealizing, the other brashly desublimating. The Portuguese Jorge de Montemôr published

Diana around 1559 (as Jorge de Montemayor), giving rise to the pastoral novel. *Lazarillo de Tormes* (*The Life of Lazarillo de Tormes and of His Fortunes and Adversities*) was published anonymously in 1554, immediately banned by the Spanish Crown, and included in the Index of Forbidden Books of the Spanish Inquisition (see PICA-RESQUE). But this short book, whose ferocious anticlericalism suggests Erasmian influence and was deemed by Américo Castro (1885–1972) to be the creation of a Jewish *converso*, was printed in Antwerp, then under Spanish rule. In this way it circulated through Europe, giving rise to a progeny of works in different languages variously known as rogue novel, *roman picaresque*, and *Schelmenroman*, and influencing authors such as Alain-René Lesage (1700–30, *Gil Blas*; *The Adventures of Gil Blas of Santillane*), Hans Jakob Christoff von Grimmelshausen (1668, *Der Abenteuerliche Simplicissimus*; *Simplicius Simplicissimus*), Daniel Defoe (1772, *Moll Flanders*), and Thomas Mann (1954, *Bekenntnisse des Hochstaplers Felix Krull*; *Confessions of Felix Krull, Confidence Man*). Also from this century is the first printed edition in Castilian of *Amadís de Gaula* (1508, *Amadis of Gaul*) by Garci Rodríguez de Montalvo, who claims to have edited the first three books of a manuscript circulating since the fourteenth century and to have added a fourth unpublished book and a continuation, *Las sergas de Esplandián* (*The Labors of the Very Brave Knight Esplandián*). The story comes from Portugal and is attributed to the troubadour Vasco de Lobeira (d. 1403) in a Portuguese chronicle of the fifteenth century, although it now appears that the chronicler confused this poet with the troubadour João Lobeira (ca. 1233–85), who would be responsible for setting the story of *Amadís* in prose. An eccentric but nonetheless enormously successful book from the last quarter of the sixteenth century is Fernão Mendes Pinto's

Peregrinação (Travels), completed in 1578 and published posthumously in 1614, an autobiographical account of the author's travels in Africa and Asia, full of exaggeration and with a strain of the picaresque.

By any account, the major contribution of Iberian literature to the novel was *Don Quixote*. In his novel, Cervantes combined the various narrative strands of Iberian narrative into a great polyphony of voices and discourses surrounding the eminently dialogic intercourse between the two unforgettable protagonists. The *Quixote* displays (*via negativa*) an awareness of the practical hero of faith in Lull and weaves together strands from the Orientalist story, the picaresque, the pastoral, and the post-Arthurian chivalric novel, appropriating Martorell's commonsense dismissal of the otherworldly knight. Cervantes achieves this polyphonic effect by structuring the novel around a simple dialectic embodied in the would-be knight and the squire, representing the essential polarity of moral life: on the one hand the surge of impulse filling the forms of ideal representations, and on the other the dry empiricism that judges action by its measurable effects and insists on the ontological fixity of the object. In Cervantes's extended tale, literary fantasy and wishful hallucinations are checked by reality at every turn, but reality increasingly adopts the garb of fiction, a fiction organized by the inherited narrative modalities. The second part of this great work, published in 1615, ten years after the first part, introduces full-blown narrative self-reflexivity, becoming as a consequence of this the earliest example of metafiction.

This great "realist" tradition in early Iberian narrative tapers out with Cervantes and Mateo Alemán (1605, *Guzmán de Alfarache*; *The Life of Guzmán de Alfarache*), soon degenerating into Baroque verbalism and rhetorical flourish. It was no longer possible to pass for Christian resignation the bitter

awareness of the corrupting effect of Castilian imperial values. The world, hollowed out by *engaño* (deception), could not be redeemed by gentle irony as in Cervantes; now universal deceit corroded the self-confidence of social insiders like Francisco Gómez de Quevedo y Villegas (1626, *El Buscón*; *The Swindler*). Still in the first half of the seventeenth century, María de Zayas y Sotomayor wrote stories about the plight of women who are caught in the game of sentimentality, the only discourse available to them socially and literarily. Her collection of novellas, *Novelas Amorosas y Ejemplares* (1637, *The Enchantments of Love: Amorous and Exemplary Novels*) and the sequel *Desengaños amorosos* (1647, *The Disenchantments of Love*), forgotten in the nineteenth century, were rediscovered in the late twentieth century by FEMINIST critics, who reappraised the literary quality of her work.

In the second half of the seventeenth century, Iberian narrative produced one eminent work, the allegorical novel *El criticón* (*The Faultfinder*), by the Jesuit priest Baltasar Gracián. Published in three parts in 1651, 1653, and 1657, it unfolds a disillusioned perspective on life, expounded by Critilo (the voice of reason) to Andrenio (the naive, natural man), in a conceptual recasting of Cervantes's dialogic pair of wayfarers searching for an Island for Sancho to govern. In Gracián's work, Cervantes's utopian island has become the Isle of Immortality, but the place, and above all the symbolic characters, also look forward to Defoe's reunion of civilized and natural man on an island blessed by a provident Calvinist divinity.

The novel's polyphonic quality had been declining since Cervantes and growing in abstraction until Gracián reduced it to an exchange of axioms and conceptual repartee between allegorical characters (see FIGURATIVE) moving around the world as on a revolving stage. In the nineteenth century,

Walter Scott's international success inspired a Catalan journalist, Ramon López Soler, to tap into the Spanish past for a similarly romantic yield. His 1830 novel *Los bandos de Castilla: o, El caballero del cisne* (The Factions of Castile: or, the Knight of the Swan) inaugurated a twenty-year trend in fantastic historiography. In the second half of the century, serial novels or *folletines* depicting the plight of the urban working classes obtained great popularity through increasing literacy and the expansion of the press (see SERIALIZATION). The most successful of these works was *María, la hija de un jornalero* (1845–46, Mary, or a Day-laborer's Daughter), by the Catalan Wenceslao Ayguals de Izco. In Portugal, the historical novel was developed by Alexandre Herculano, beginning with *O Bobo* (1843, The Fool), a dramatic romance set in the time of Portugal's independence, and followed up with a number of works pervaded by Herculano's historical knowledge, especially in *Eurico, o presbítero: Época Visigótica* (1844, Eurico, the Priest), a novel written in the footsteps of Scott that takes the reader to the beginning of the Reconquest and the origins of the Christian kingdoms in the Iberian Peninsula. By far, the most successful (and prolific) romantic Portuguese writer was Camilo Castelo Branco, with over 260 books to his name. Among his most popular novels was *Os Mistérios de Lisboa* (1854, Mysteries of Lisbon), one of the many Iberian imitations of Eugène Sue's *Les mystères de Paris* (1842–43, *The Mysteries of Paris*). Others were Josep Nicasi Milà de la Roca's successful feuilleton, *Los misterios de Barcelona* (1844, Mysteries of Barcelona), Juan Martínez Villergas's *Los misterios de Madrid* (1844–45, Mysteries of Madrid), and Rafael del Castillo's *Misterios catalanes o el obrero de Barcelona* (1846, Catalan Mysteries, or the Barcelona Worker). Castelo Branco's most distinguished novels are *O Romance de um Homem Rico*

(1861, *The Love Story of a Rich Man*), *Amor de perdição* (1862, *Doomed Love*), and *A Brasileira de Prazins* (1882, *The Brazilian Woman from Prazins*). But long-term critical success was reserved for relatively high-brow novels by professional writers. Four authors reached the apex of their literatures' respective canons: the Portuguese José Maria de Eça de Queiros, the Catalan Narcís Oller, and the Spaniards Benito Pérez Galdós and Clarín (pseud. of Leopoldo Alas). Galdós, the most prolific of the four, is often credited with the return to realism in Spanish fiction. But this is true only of his mature novels, for his early work is allegorical; for example *Marianela* (1878) thematizes the struggle between fantasy and positivism, or the clash between moral and empirical knowledge. Galdós's undisputed masterpiece is *Fortunata y Jacinta* (1887, *Fortunata and Jacinta*), a novel about a childless upper-class couple and a lower-class woman whose convoluted on-and-off affair with the voluble Juanito Santa Cruz, husband of Jacinta, will provide the latter with the child she craves. The plot takes the reader through many sectors and institutions of nineteenth-century Madrid and is a storehouse for the language of the city's popular classes.

Eça de Queiros introduced realism to Portuguese literature. His most popular novel, *O Crime do Padre Amaro* (1875, *The Crime of Father Amaro*), is the story of a provincial priest whose life is destroyed by the strictures of celibacy. In *O Primo Basílio* (1878, *Cousin Basílio*), he studied the life of a middle-class Lisbon family, focusing on adultery, one of the most popular themes of the nineteenth-century novel. His most accomplished work might be *Os Maias* (1888, *The Maias*), in which he depicted in naturalist fashion the degeneration of an old family through incestuous relationships. By following the fate of the characters through several generations, Eça depicts the life of

the upper class, as well as the country's political changes throughout most of the nineteenth century.

By general consent, Clarín's *La Regenta* (1884–85, *The Regent's Wife*) is the greatest Spanish novel of the nineteenth century. The action is located in Vetusta (a provincial city reminiscent of Oviedo) where the main character, Ana Ozores, marries a retired regional magistrate who, much older than she, is beyond physical passion. Suffering from lack of marital attention, Ana tries to sublimate her sexual deprivation through mysticism until she meets Álvaro Mesía, the local Don Juan who makes it a point of honor to seduce her. To complicate matters, the Cathedral's canon Don Fermín de Pas (Ana's confessor and self-appointed spiritual mentor) also falls in love with her and becomes Mesía's rival, sublimating his lust in the fight to possess Ana's will. Thus the rivalry between the two men reproduces the city's rift between the conservative high society, dominated by the ambitious, power-hungry, and repressed Don Fermín and the members of the liberal casino, where Mesía boasts his sexual exploits. At the center of the plot is Ana's "nervous condition," and the polyphonic treatment of this "mystery" constitutes the finest technique of the novel. Hazarding various "theories" about her malady, characters compete to define and treat Ana's malady, making of her body and mind a political arena for the struggle between secularizing forces led by the medical profession and the Catholic reaction that supervened toward the end of the century. A copious array of secondary characters portrayed with ruthless irony thicken the plot, making this novel a Spanish counterpart to Gustave Flaubert's *Madame Bovary* (1857).

Oller's *La febre d'or* (1890–92, *Gold Fever*) marked the grand return of Catalan narrative after centuries of decline. Tracing the rise and fall of a Barcelona financier in

the heady years of the restoration of the monarchy after the brief republican experiment, Oller masterfully describes the economic forces behind Barcelona's expansion in the decades leading up to the Universal Exposition of 1888. The dynamic, forward-looking city immersed in industrial development and in the cultural *Renaixença* is a far cry from Clarín's sluggish Vetusta or the Lisbon of Eça de Queiros, but also from the Madrid of Galdós, peopled by antiquated aristocrats, shady conspirators, a bureaucratic bourgeoisie, and an unskilled and often abused working class. Oller's contribution to the rebirth of Catalan literature was, in a century of poets fumbling in medieval texts for vocabulary, to craft a prose style that was supple enough to reproduce urban dialogue and sufficiently precise to describe modern activities such as stock-trading, banking operations, Parisian *café-chantants*, or horse racing. Oller broke a path, which other writers followed during the so-called *modernista* period, a pell-mell style combining symbolist and Northern European influences (see MODERNISM). Within this current and in the presses of *L'Avenç*, the *modernista* journal par excellence, Víctor Català (pseud. of Caterina Albert) published *Solitud* (1905, *Solitude*), one of the great novels of the century. The plot pits Mila, a woman from the lowlands, against the mountain, which acquires a symbolic dimension through the nearly cosmic clash between the shepherd Gaietà and an evil creature named Ànima (soul, or spirit). The sprightly and loving Mila finds a stern opponent in Sant Ponç, the Catholic saint whose image presides over the chapel in the hermitage where she lives with her listless husband. Ànima rapes her in the chapel after she is knocked unconscious while trying to find protection behind the altar. After this defeat by the evil force of the mountain, Mila, like an Ibsen character, takes her destiny in her own hands and,

turning her back on her husband and the hermitage devoted to the hostile saint, begins the descent toward the industrial cities on the plain.

In the Spanish language, the foremost female novelist of the nineteenth century was the Galician Emilia Pardo Bazán, author of two novels deemed at the time to represent the inception of NATURALISM in Spain. In *Los pazos de Ulloa* (1886, *The House of Ulloa*) and *La madre naturaleza* (1887, *Mother Nature*), Pardo Bazán emplots family dramas in a backward Galician region, where traditional patriarchal relations continue to define property and political influence. As in so much nineteenth-century literature, the rural setting furnishes the empirical evidence that human life is embedded in nature, incest functioning as a—for the time—provocative metaphor for the overwhelming capacity of instinct to short-circuit moral and cultural illusions. Pardo Bazán wrote a collection of critical articles addressing the problem of literary realism and naturalism, which she called, not without affectation, *La cuestión palpitante* (1883, *The Burning Issue*). Émile Zola commented with irony that the book was so passionate that it did not seem written by a lady, and he was surprised that its author could be at once naturalist and militantly Catholic, a combination that could be explained if Pardo's naturalism was, as he had heard, merely formal.

At the turn of the century, a number of Spanish writers, including Miguel de Unamuno and José Martínez Ruiz (Azorín) were grouped by critics into the "Generation of '98." Several of these authors wrote novels, but the Basque Pío Baroja best represented the genre. In 1902 he wrote *Camino de perfección* (*The Path to Perfection*), a novel in which, under the influence of Arthur Schopenhauer (1788–1860), the author casts a disillusioned look on the various social classes in Spain's capital and sends the protagonist on a trip to

the Mediterranean coast in search of the vitality and will to action that he cannot experience in Madrid's deadly environment. Baroja wrote about the misery of the *arrabales* (outskirts) of Madrid in his trilogy *La lucha por la vida* (1904, *Struggle for Life*), consisting of *La busca* (*The Quest*), *Mala hierba* (*Weeds*), and *Aurora roja* (*Red Dawn*). Between 1913 and 1928 he wrote a long series of fourteen novels and eight volumes of short stories entitled *Memorias de un hombre de acción* (*Memoirs of a Man of Action*). In *El árbol de la ciencia* (1911, *The Tree of Knowledge*), an autobiographical novel, he came closest to expressing his disenchanting views on society and human beings. The author's alter ego, the doctor Andrés Hurtado, learns that society is a ferociously Darwinian environment and life an illusion from which the superior man should strive to awaken.

In the second decade of the century, the Asturian writer Ramón Pérez de Ayala published *Belarmino y Apolonio* (1921, *Belarmino and Apolonio*), a small gem in the category of the "novel of ideas" (see PHILOSOPHICAL). Told with elegant humor and intelligent irony, the story narrates the "intellectual" rivalry between two shoemakers who stand for the Dionysian and Apollonian principles. Behind their categorical differences the author depicts the conflict between the mystical or intuitive (meaning-governed) and the rhetorical or conventional (form-governed) approaches to language.

Earlier, one of the most original writers of the century, the Galician Ramón María del Valle-Inclán, wrote a cycle of symbolist novels, the *Sonatas* (1902–5), in which sensuality and dramatic effect predominate over plot. He then turned to the historical novel in a series of books on the third Carlist war, narrated in an aestheticizing if melancholy manner but with a documented grasp of the extended conflict that cleaved nineteenth-century Spanish society: *Los cruzados*

de la Causa (1908, *Crusades for the Cause*), *El resplandor de la hoguera* (1909, *The Brightness of the Bonfire*), and *Gerifaltes de antaño* (1909, *Hawks from Old Times*). His best-known novel, however, is *Tirano Banderas* (1926, *The Tyrant*), a fictional chronicle about the fall of the military dictator of an imaginary Latin American country on the Pacific Ocean (see *DICTATORSHIP*). Written with full mastery of expressionist techniques, this novel remains the most accomplished critique of a regime that once seemed endemic to Hispanic countries. In his last narrative cycle, the “Ruedo Ibérico,” Valle-Inclán again returned to historical subject matter with a trilogy comprising *La corte de los milagros* (1927, *The Court of Miracles*), *¡Viva mi dueño!* (1928, *Long Live my Owner!*), and the unfinished *Baza de espadas* (1932, *Suit of Swords*). The trilogy is set in the final years of the reign of Queen Isabel II, a period he re-creates in his mature style, full of spoof and derision.

Also from 1932, but focused on the present, is Josep Maria de Sagarra’s *Vida privada* (*Private Life*), a novel about the decomposing aristocracy in 1920s and early 1930s Barcelona. Training his critical lens on the upper and lower districts of the city, the author traces a subtle correspondence between the moral hollowness of Barcelona’s haute bourgeoisie and its nonchalance with respect to the political turbulence of those years.

The Civil War (1936–39) dispersed some Spanish authors who went into exile, and it had a devastating effect on Catalan literature. Most of the writers in this language suffered exile and those that remained in Spain were effectively silenced by the prohibition of their language, the loss of professional opportunities, and the isolation from their audiences and from future generations that would no longer be educated in their own language.

In Spain, on the side of the new official culture, the novel was slow in surmounting

the epic self-celebration of the victors and the denigration of the losers. In the 1940s, a former Francoist combatant and falangist, Camilo José Cela, published *La familia de Pascual Duarte* (1942, *The Family of Pascual Duarte*), a work about a man thoroughly alienated from conventional morality and prey to the most primitive instincts, who commits a number of crimes and is sentenced to death for the murder of a landlord in his native region of Extremadura. The novel has been compared to Albert Camus’s *L’Étranger* (1942, *The Outsider*), due to Pascual’s insensitivity toward the suffering of others, but Cela’s alleged challenge to morality is made acceptable by the hint that Pascual’s criminal career (reported by himself in a letter reminiscent of Lazarillo de Tormes’s autobiographical account) is the retrospective explanation for the revolutionary mobs that overran the landed states in Extremadura at the beginning of the Civil War, and thus for the mass executions that were taking place in the 1940s without the legal formalities depicted in the novel. Cela’s best-known work is *La colmena* (1951, *The Hive*), a large mural of mid-century Madrid in which more than 300 characters appear, invoked by the meandering of the focal protagonist, Martín Marco, who is indeed the subjective frame through which a conventional and conformist society appears. The novel owes a great deal to Baroja’s disenchanted look at the capital in *La busca*, but it appears to be aware of James Joyce’s huge canvas of Dublin. Cela was awarded the Nobel Prize for literature in 1989, the only one awarded to a Spanish novelist to date.

Although hardly noticed when it was published in 1956, *Bearn*, by the Mallorcan Llorenç Villalonga, is the best novel in Spanish from the middle of the century. Completed in 1954, three years before the Italian Giuseppe Tomasi di Lampedusa published his famous *Il Gattopardo* (1957,

The Leopard), which Villalonga translated into Catalan, *Bearn* also tells a story of decadence of the landed aristocracy on a Mediterranean island (Mallorca, in this instance). Villalonga had already written with considerable mordacity about the decay of insular aristocracy in *Mort de dama* (1931, *Death of a Lady*), the first of his fifteen novels, most of them written in Catalan. But after the Civil War (during which he had a brief infatuation with fascism) and WWII, he was able to cast a kindly evocative gaze on a world that would be no more. Thick with Proustian overtones, *Bearn* is the memory of the lost paradise of youth in a mythic district of Mallorca modeled on Binissalem, a town in the center of the island.

In 1956 another great novel went unnoticed, the first edition of Joan Sales's *Incerta glòria* (*Uncertain Glory*), one of the best Catalan novels ever written and the best on the Spanish Civil War in any language. It was the first in Spain to deal overtly with the war from the standpoint of the losers. The novel, however, grew extensively in French translation (1962), changing with every edition until the fourth and definitive one, from which the last part would be severed in the fifth edition to form an independent story, *El vent de la nit* (*Night Wind*). Altogether, Sales devoted twenty years to perfecting his masterwork, which combines the epistolary form in the first two sections with the memoir in the last two. By altering point of view and narrative tense among a few complexly portrayed characters, Sales created a credible fresco of the war as a limit experience. The central character is the mysterious Soleràs (a play on "solitude"), the lucid hero who triumphs over the absurd by pitting his will against cosmic blindness and choosing defeat and death over the cheap morality of the winners, which he could have shared. Because of his extravagance, which is the expression of his authenticity, and his rejection of delusory

comforts, he has been compared to a Dostoyevskian hero. He is, in any case, a tragic hero in the classic sense of the word, one who lives to the full the "uncertain glory of an April day," Shakespeare's metaphor for the passing of youth in *Two Gentlemen of Verona* and the verse from which the novel takes its title. But besides a Shakespearean reference, the title is also an allusion to 14 April 1931, the day when Francesc Macià proclaimed the Catalan republic in Barcelona, arousing fervent hopes for the recuperation of political freedom within a new federal system. *Incerta glòria* narrates without concessions to either republican legend or Francoist myth the dashing of those hopes, first by the revolution and then, tragically and definitively, by the recurrence of primordial violence in the Civil War.

The passing glory of 14 April was also recalled by Mercè Rodoreda in *La plaça del Diamant* (1962, *The Time of the Doves*), where the focal character, Natàlia, remembers it on account of the fresh air, "an air that fled and all the others that came after were never like the air of that day that cut my life in two, because it was in April and with the flowers still budding that my small headaches started to become big headaches." Rodoreda was the twentieth century's finest female writer in the Iberian Peninsula, and *Plaça del Diamant* a superb novel, among the best of all time. From a "naively" subjective point of view, reminiscent of Henry James (1897, *What Maisie Knew*) and William Faulkner (1930, *As I Lay Dying*), Rodoreda's protagonist narrates her life from youth to old age, discovering in the ordinary life of a working-class woman the initiatory path leading to wisdom in conformity with the cosmic balance of nature. In the process, Natàlia serves as a mirror for the collective experience of Catalan society, from the years of popular cohesion and celebration (late 1920s–mid-1930s) to the disastrous years of physical obliteration

(1940s–early 1950s) to the 1960s, when it became possible to nurture hope for renewal and to trust to the healing forces of life.

Rodoreda intended *Plaça del Diamant* to be a short story written to provide diversion from the intense writing of *Mirall trencat* (1974, *A Broken Mirror*), on which she spent ten years. *Mirall trencat*, the most complex of Rodoreda's novels, recounts the story of three generations of an upper-class Barcelona family, the Valldaura-Farriols, in their luxurious mansion. The novel, written in a deceptively realist style, incorporates symbolic and GOTHIC elements, as well as Freudian intuitions (see PSYCHOANALYTIC) and a fine sense of humor balanced with the sense of personal and historical tragedy, all held together by the elegance of Rodoreda's poetic intuition. Like *Plaça del Diamant* but in a more ambitious polyphony of characters from all walks of life, *Mirall trencat* narrates the degradation of the golden age of Catalan society in the first quarter of the twentieth century and its destruction by the Spanish Civil War. As in much of her work, the lush gardens symbolize the lost paradise, a place of beauty and mystery in which a human flaw corrupts the possible happiness and leads to expulsion. Rodoreda's later novels became increasingly symbolic as she left realist description behind to concentrate on an emblematic and grotesque narrative drawing from surrealism, psychoanalysis, and the occult. From this last period of her life are *Quanta, quanta guerra . . .* (1980, *So Much War*), a war novel in which "battle, that which people call a battle, there is none," and the posthumous *La mort i la primavera* (1993, *Death in Spring*), a bizarre, dreamlike story about a village where people celebrate extraordinary rituals concerning the transmission of esoteric knowledge. In both works, Rodoreda explored surreal landscapes that appear to be stages in the learning of the hermetic meanings of death.

The year 1962 was significant not only for the Catalan novel, but also for its Spanish counterpart. If Rodoreda revealed her acquaintance with stream-of-consciousness narration (see PSYCHOLOGICAL) in *La plaça del Diamant*, Joyce's influence was more ostensible in Luis Martín-Santos's only novel, *Tiempo de silencio* (1962, *Time of Silence*), which is often considered a turning point in Spanish fiction. Breaking with the social realism that prevailed in the 1950s, Martín-Santos deployed techniques such as the interior monologue (or dialogue) and free indirect speech (see DISCOURSE) to X-ray the hypocrisy underpinning the social workings of Spanish society epitomized by its capital city. In Madrid science is reduced to rehashing research done elsewhere and scientific inquiry is a pretense whose real function is to sustain the social hierarchy. Under these circumstances, a man with genuine scientific vocation is bound to become a victim of his own candor and to be expelled from the system to the outer darkness of the province.

Although there is nothing inherently progressive or critical in experimentation, the connection between formal inventiveness and the critique of the Francoist capital in *Tiempo de silencio* became the trademark of literary quality in the 1960s and early 1970s. In these decades the self-exiled Juan Goytisolo published his Álvaro Mendiola trilogy, consisting of *Señas de identidad* (1966, *Marks of Identity*), *Reivindicación del conde don Julián* (1970, *Count Julian*), and *Juan sin Tierra* (1975, *Juan the Landless*). With these works, Goytisolo emerged as the harshest critic of the Spanish literary tradition, to which he nonetheless belongs. The literary "scrutiny" undertaken by his main character in the Tangier library at the beginning of *Reivindicación* echoes the priest's and barber's scrutiny of Don Quixote's library, only this time the sentence is not to execution by fire but by derision (Álvaro squashes

dead insects between the pages of the condemned volumes) and it falls on the nationalist authors of the Generation of '98, iconic figures of Francoist culture.

In 1979, the Portuguese novelist António Lobo Antunes published the first of his nineteen novels to date—*Memória de Elefante* (Elephant Memory), in which he told the story of his separation from his wife and daughter. It is the story of a personality damaged by the colonial war in Africa, with the result that guilt feelings block desire and affection and paralyze his will. Instead of driving his car to his wife's apartment, the key to which he keeps like an amulet, the protagonist prefers to drag himself through the city and re-create time and again his melancholy object of desire in self-pitying conversation with whoever will listen to his plight. In *As Naus* (1988, *The Return of the Caravels*), Lobo Antunes draws a magnificent palimpsest of Portugal's colonialism, superimposing the dissolution of Portuguese colonial power in Africa in the 1970s onto the cultural origins of the Portuguese Empire, and the human debris of decolonization onto the early world navigators, who move amid the Empire's flotsam and jetsam in present-day Lisbon. In a radical departure from diachronic realism, Lobo Antunes creates kaleidoscopic states of consciousness in which point of view moves between external perception and inner reflexivity, and history is foreshortened through a flexible concept of time, in which protension (expectation) and retention (memory) shift directions in the subjects' consciousness, giving rise to an extended present from which they cannot break free.

By far the best-known Portuguese novelist of modern times is José Saramago, winner of the Nobel Prize for literature in 1998. Critics often consider *O Ano da Morte de Ricardo Reis* (1984, *The Year of the Death of Ricardo Reis*) his most accomplished work. Turning one of the heteronyms of the poet

Fernando Pessoa (1888–1935) into the main character of his novel, Saramago describes events in the year after the death of the great poet, who is survived by his poetic alter ego. Reis, a detached and estranged doctor arriving from Brazil, leads a limbo existence for one year, carrying on a dull love affair with a chambermaid, dreaming of an impossible love with a young handicapped girl, and carrying on conversations with the ghost of Pessoa, whom he finally follows to the cemetery. The blurring of the difference between life and death is consistent with the in-betweenness of Reis's life in his last year. Alongside his provisional day-to-day routines, he learns in the newspapers about political events, such as the rise of Nazism in Germany, the advent of the Spanish Republic, and the incidents that will lead to the Civil War. In his Lisbon hotel, Reis witnesses, without comprehending its meaning, the flood of wealthy Spanish "refugees" fleeing a Republican regime they have come to fear.

In *Todos os nomes* (1997, *All the Names*), Saramago has pursued his meditation on the relation between naming and death. In this novel an employee of the civil registry in Lisbon collects newspaper articles about public figures, for which he then creates dossiers using the information contained in the registry's files. One day he comes across the card of an anonymous woman and is gripped by a zeal to fill out the details of her life, thus endowing it with reality. As obsessive a character as Joseph K in Franz Kafka's *Der Prozeß* (1925, *The Trial*), Saramago's protagonist, also named José, strives to bridge the gap between official and natural reality. From his room, which opens directly into the civil registry, much as K's workplace abuts on the facilities of the Law, he conducts dangerous nightly expeditions into the labyrinth of stacked-up files, in the depths of which he is at risk of losing himself forever, just as he is on the point of losing his

way in the Lisbon cemetery, where he discovers the arbitrariness on which our official selves are based.

The most recent trend in Iberian fiction has been the so-called novel of memory. A unique case in this category is Joaquim Amat-Piniella's *K.L. Reich* (1963), a Catalan novel about the Nazi camps written in 1945 but unpublished until 1963—in Catalan and in Spanish translation—after considerable purging by government censorship, which forbade its publication for seventeen years. The novel, written soon after the liberation of Mauthausen concentration camp, where Amat-Piniella was an inmate between 1941 and 1945, anticipates much of the literature of the Holocaust and is motivated, like most of this literature, by an existential commitment to the victims, on the assumption that their fate will, in some way, be vindicated through witnessing. Because of its purpose and subject matter, the narration is strictly realistic, but it draws on sophisticated techniques such as the simultaneity of actions, the use of visual imagery consistent with the importance of cinematography in the period before the war, and a supple combination of authorial reflection and effective dialogue, with ample use of free indirect speech (see NARRATIVE TECHNIQUE). “Nazism tried to physically annihilate its enemies and, in case it failed to do so completely, it prepared the atmosphere to annihilate them morally forever” (45). The full, unexpurgated original text was finally published in 2005.

Jorge Semprún also wrote about the extermination camps from experience. Educated in France and with a brilliant literary career in French, it was in this language that he wrote his novels about Buchenwald—*Le Grand Voyage* (1963, *The Long Voyage*) and *Quel beau dimanche* (1980, *What a Beautiful Sunday!*)—to which he later added an extraordinary autobiographical essay on the camp, *L'écriture ou la vie* (1994, *Literature or*

Life). Memory discourse and trauma theory emerged in the second half of the twentieth century in close association to the Holocaust, but in the Iberian context, the Spanish Civil War (and for Portugal the 1964–71 colonial wars in Angola and Mozambique) elicited an extensive literature about the fascist regime that came of the war.

On the subject of the Civil War and in Spanish, Juan Benet's first novel, *Volverás a Región* (1967, *Return to Región*), remains the most original. Creating, like Faulkner, a mythical space in the north of the Iberian Peninsula, Benet describes the maneuvers of the two armies in a topography that becomes the source and symbolic representation of primordial violence. Associated with an elusive being, El Numa, the devastating forces that engulf the characters and ruin their lives arise in a time that, although ambiguously referring to historical events, appears to be cyclical, a time not of eternal beginnings but rather of recurrent doom.

Two Catalan authors writing in Castilian have explored the difficult extrication of historical truth from the distortions perpetrated on life under the Francoist regime. In his first international success and still his best novel, *Si te dicen que caí* (1973, *The Fallen*), Juan Marsé re-created life in post-war Barcelona from the viewpoint of marginal children who try to evade a harsh social reality by making up yarns, which they infuse with their own desires. Even so, their fantasies are not entirely devoid of reality. For instance, their erotic imagination shares in the city's contemporary fascination with Carmen Broto, a sex symbol and high-class prostitute whose brutal murder in 1949 forms the background to this novel. Marsé revisited the Barcelona of the 1940s in subsequent novels. In *Un día volveré* (1982, *One Day I Will Return*), *Ronda del Guinardó* (1984, *Watch of the Guinardó*), and *El embrujo de Shanghai* (1993, *Shanghai Nights*), memory is once again the product

of socialized fears and desires, deluded children's conflation of their parents with Hollywood heroes.

Manuel Vázquez Montalbán became internationally known for his long series of DETECTIVE fiction featuring Barcelona private eye Pepe Carvalho. The popularity of this series allowed the author to communicate his views on a wide array of social and political issues to a wide readership. But it was in *Galíndez* (1990), a novel on the disappearance and death of Jesús de Galíndez Suárez, a historical Basque politician who was kidnapped from Columbia University and murdered at the behest of the Dominican dictator Rafael Leónidas Trujillo, that Vázquez Montalbán achieved a tour-de-force blending of historical research, the conventions of the thriller, a critique of U.S. "imperialism" and, among Spanish writers, an uncommon assessment of the continuities between the Franco dictatorship (1939–75) and the post-Francoist socialist dispensation in the allusion to the maintenance of state terrorism and, above all, in voluntary amnesia elevated to the status of policy.

The theme of remembrance has been explored with great sensibility by the Mallorcan Baltasar Porcel in *Les primaveres i les tardors* (1986, *Springs and Autumns*), a polyphonic novel that inaugurates a narrative cycle centered in his native Andratx. Seated around a table for dinner on Christmas Eve, multiple members and several generations of one family exchange stories and memories, weaving together experience, imagination, and desires, in a flow of evocation that thickens until it has the ontological density of reality. In Portugal, Lídia Jorge has contributed to the novel of memory with *O vale da paixão* (1998, *The Painter of Birds*), a work that depicts three decades of Portuguese life through the eyes of a woman who, growing up during the Estado Novo, takes stock of the profound changes of this peri-

od, during which Portugal tried to perpetuate its overseas empire, sapping its national cohesion in the process.

Among the Spanish authors who have written brilliantly on the subject of MEMORY as modulated by time and subjectivity (fear and desire), the early work of Antonio Muñoz Molina deserves special mention. Muñoz Molina achieved his best work in the 1980s, with a finely wrought narrative in which he questioned official history and the possibility of eluding the traps of desire and vested interest while following material clues like an Ariadne's thread in the labyrinth of memory. His first novel, *Beatus Ille* (1985) remains, next to *El jinete polaco* (1991, *The Polish Rider*), one of the most interesting Spanish novels in the memory subgenre, as the author manages to incorporate elements of mystery derived from film noir into the process whereby a young man returns to the haunted places of the past only to find time suspended in mirrors and photographs (see PHOTOGRAPHY). In this context, to attempt to know is to repeat a fate, beckoned by the ambiguity of images that dissolve the difference between reality and phantom.

Javier Marías's 1992 novel *Corazón tan blanco* (*A Heart So White*) is about the involuntary memory of words that find their way into consciousness and trigger their long-delayed effect in unexpectedly dangerous ways. *Corazón* is also about the link between memory and moral responsibility, since through memory, as the protagonist's father explains, one's precarious identity is established. We are who we are to the extent that we claim ownership of certain memories and, in doing so, accept the burden of the past. In 2002–7 Marías published the first installment of his trilogy *Tu rostro mañana* (*You Will Betray Me Tomorrow*). In this long work Marías returns to his enduring concern with the narrator's responsibility, as any story told becomes unmoored from the

original intention and, drifting out of control, can be illicitly appropriated into an alien, self-serving context.

After the death of Francisco Franco (1892–1975), the Galician and Basque languages resumed earlier attempts to develop a modern literature, and each produced narrators of considerable stature. In 1998 the Galician Manuel Rivas garnered fame with a short novel, *O lapis do carpinteiro* (*The Carpenter's Pencil*), an original narrative about the relation of dependence between a fascist policeman and the republican intellectual he hates and tries to destroy out of jealousy. Told with skill and economy, the story of Dr. Daniel da Barca and civil guard Herbal incorporates a significant number of characters through narrative slides that switch narrative voice, point of view, time, and setting without warning, as if drawn with the eponymous pencil, which functions as a metaphor for the transmission of memory.

With *Obabakoak* (1988), a collection of linked short stories, Bernardo Atxaga (pseud. of Joseba Irazu Garmendia) became internationally known. In his novels *Gizona bere bakardadean* (1993, *The Lone Man*) and *Zeru horiek* (1996, *The Lone Woman*), he undertakes an impressive study of the terrorist's psychology. Through a savvy use of mystery-novel suspense (the police circle closes in around a cell of terrorists in hiding), Atxaga's *Gizona* subtly traces the social mechanisms of loyalty and betrayal. In *Zeru horiek* Atxaga tells the return of an ETA Basque separatist convict to Euzkadi (the Basque Country), and the abuse to which she is subjected on the bus by plainclothes policemen who pressure her to become a police informant. The novel was a daring attempt to denounce the situation of former terrorists for whom there is no social reintegration after serving long prison sentences. Atxaga's most recent novel, *Soinujo-learn semea* (2003, *The Accordionist's Son*),

is a beautiful reflection on memory, friendship, and betrayal, a story about divided loyalties in a community that is split by class, politics, and history, but which, in its long existence, is as firm and enduring as the California sequoias admired by the protagonist.

At the 2007 Frankfurt Book Fair, the revelation to German publishers was Jaume Cabré's *Les veus del Pamano* (2004, 2004, *Voices of the Pamano River*). The author of ten novels to date, in addition to scriptwriting for television and cinema, Cabré achieved a narrative feat with his novel about a village in the eastern Pyrenees, the region where the maquis were active in the 1940s preparing the population for an allied invasion of Spain that never took place. The protagonist is a village teacher, officially a Falangist and an accomplice of the brutal authorities, but secretly a resistance fighter who loses his life in the struggle to overthrow the tyranny. Oriol Fontelles is also the lover of the village boss, a wealthy woman who, being the cause of his death, defies God and concocts the myth of a miracle, buying for him, by dint of lavish gifts to the Opus Dei, the Vatican's decree of beatification. Sixty years after the events, a schoolteacher's effort to bring to light the hidden truth of history meets with the same violent suppression that gave rise to the myth. Neither witnesses nor material traces remain, and history emerges as a murky record of a past made of counterfeit proof and spurious material evidence, a socially effective yarn scripted by power, ambition, and corrupted dreams.

SEE ALSO: Censorship, Comparativism, Mythology, National Literature.

BIBLIOGRAPHY

- Arnau, C. (1979), *Introducció a la narrativa de Mercè Rodoreda*.
 Arnau, C. (2003), *Compromís i escriptura*.

- Badia, L. (1988), *De Bernat Metge a Joan Roís de Corella*.
- Badia, L. (1991), *Teoria i pràctica de la literatura en Ramon Llull*.
- Barletta, V. (2010), *Death in Babylon*.
- Beltrán, R. (2006), *Tirant lo Blanc de Joanot Martorell*.
- Close, A. (2000), *Cervantes and the Comic Mind of his Age*.
- Coleman, A. (1980), *Eça de Queirós and European Realism*.
- Cuñado, I. (2004), *Espectro de la herencia*.
- Dunn, P. (1993), *Spanish Picaresque Fiction*.
- Gómez Redondo, F. (1999), *Historia de la prosa medieval castellana*, vols. I–II
- Herzberger, D.K. (1995), *Narrating the Past*.
- Olaziregi, M.-J. (2005), *Waking the Hedgehog*, trans. A. Gabantxo.
- Martins, S. and A. de Paula Martins (2006), *In Dialogue with Saramago*.
- Resina, J.R. (1997), *El cadaver en la cocina*.
- Resina, J.R. (2006), “The Short, Happy Life of the Novel in Spain,” in *Novel, History, Geography and Culture*, ed. F. Moretti, vol. 1.
- Ribbans, G. (1993), *History and Fiction in Galdós’s Narratives*.
- Seixo, M.A. (2002), *Os romances de António Lobo Antunes*.

Ideas, Novel of *see* British Isles (18th Century); Philosophical Novel

Ideology

PHILLIP E. WEGNER

The difficulty of the concept of ideology, Slavoj Žižek argues, lies in “its utterly ambiguous and elusive character”; it “can designate anything from a contemplative attitude that misrecognizes its dependence on social reality to an action-orientated set of beliefs, from the indispensable medium in which individuals live out their relations to a social structure to false ideas which legitimate a dominant political power” (1994, 3–4). Further problems arise because ideology is often defined by what it is not—not truth, not reality, not science. However, it is

this multiplicity that makes ideology such an effective tool for reading the novel.

MARX’S TWO STRANDS

The term *idéologie* is first used by the Enlightenment philosopher Destutt de Tracy (1754–1836) to refer to “the science of ideas” (Raymond Williams, 1976, *Keywords*, 154). It took on pejorative connotations when Napoleon attacked the espousers of democracy as “ideologues.” Ironically, this dismissive sense is often applied to Marxism, the body of thought that contributed most to its development (see MARXIST).

The concept appears early in Karl Marx’s work, influenced by the “Young Hegelian” Ludwig Feuerbach’s (1804–72) description of religious alienation. Ideology is at the center of *The German Ideology* (1845–46; pub. 1932), the manuscript in which Marx and Friedrich Engels (1820–95) “invert” Feuerbach’s idealism. They first draw a distinction between how individuals “appear in their own or other people’s imagination” and how “they *really* are” (1970a, 46). Thus, “in all ideology men and their circumstances appear upside-down as in a *camera obscura*.” If philosophy begins with “what men say, imagine, conceive,” historical materialism “sets out from real, active men” and demonstrates “the development of the ideological reflexes and echoes of this life-process” (1970a, 47).

Marx further expands this notion in *A Contribution to a Critique of Political Economy* (1859). He distinguishes between the base, the “totality of these relations of production [that] constitutes the economic structure of society,” and “a legal and political superstructure . . . to which correspond definite forms of social consciousness” (1970b, 20). He notes that “it is always necessary to distinguish between the material transformation of the economic conditions of production, which can be

determined with the precision of natural science, and the legal, political, religious, artistic, or philosophical—in short, ideological forms in which men become conscious of this conflict and fight it out” (1970b, 21). While this may offer a more “neutral description” (Williams, 156)—and makes possible formulations such as “proletarian ideology”—it has often been understood to establish a mechanical causal or reflective relationship between economics and ideology.

Étienne Balibar notes that by the 1850s ideology becomes extremely rare in Marx’s writing. However, its problematic is “taken up again under the heading of *fetishism*” in *Capital*, Volume 1 (1867) (Balibar, 42). Marx argues that the commodity is a “strange thing” because in it “the definite social relation between men . . . assumes . . . the fantastic form of a relation between things” (1976, 163–5). Fetishism is thus “not a subjective phenomenon or a false perception of reality,” but “rather, the way in which reality . . . cannot but appear” (Balibar, 60). This formation is original to modern capitalism, and hence it no longer requires older “extra-economic” legitimation: “The silent compulsion of economic relations sets the seal on the domination of the capitalist over the worker” (Marx, 1976, 899).

IDEOLOGY FROM ENGELS TO ŽIŽEK

This shift produces two distinct trends in later theorizations of ideology. The first explores questions “Hegelian in origin,” including education, intellectuals, “symbolic violence,” and the “mode of domination inherent in the State.” The second takes up problems raised by the economic, “the mode of subjection or constitution of the ‘world’ of subjects and objects inherent in the organization of society as a market and

its domination by market forces” (Balibar, 78).

The first trend reemerges in Engels’s later work, where he introduces the concept of “false consciousness”: “The real motive forces impelling him remain unknown to him; otherwise it simply would not be an ideological process. Hence he imagines false or seeming motive forces” (R. Tucker, ed., 1978, *Marx—Engels Reader*, 766). Engels also reinforces the link between ideology and the state when he later asserts, “The state presents itself to us as the first ideological power over mankind” (V. Adoratsky, ed., 1933, *Karl Marx*, 1:463).

One of the most significant contributions to the concept’s development occurs in Antonio Gramsci’s (1891–37) *Prison Notebooks* (1929–35). Gramsci coins the term “hegemony,” “The ‘spontaneous’ consent given by the great masses of the population to the general direction imposed on social life by the dominant fundamental group” (12). He shows that this “consent” is anything but spontaneous, but rather inculcated by the institutions of civil society—intellectuals, schools, novels, and so forth. Thus, “Every relationship of ‘hegemony’ is necessarily an educational relationship” (350). Even if hegemonic ideas appear as collective “common sense,” they nevertheless must be reinforced, renewed, and adapted. A “philosophy of praxis,” by which Gramsci means Marxism’s unity of theory and practice, “first of all, therefore, must be a criticism of ‘common sense’” (330).

One major non-Marxist study of ideology is Karl Mannheim’s (1893–1947) *Ideology and Utopia* (1929). As his title suggests, Mannheim links ideology with a fourfold typology of “utopian mentalities” (and to these “interested” worldviews he contrasts a “sociology of knowledge”). The utopian mentality introduces historical becoming into ideology’s closed repetitive structure; as Paul Ricoeur puts it, “utopia is situation-

ally transcendent while ideology is not” (1986, *Lectures on Ideology and Utopia*, 272).

Roland Barthes similarly reimagines ideology in his concept of myth (see MYTHOLOGY). Influenced by both Bertolt Brecht (1898–1956) and STRUCTURALISM, Barthes defines myth as a second order of meaning added to an existing signifying chain—any text, object, or practice, be it wrestling, ornamental cookery, anti-intellectualism, images of a black soldier saluting the French flag, or toys (or, in James Joyce’s explorations of myth’s labor, the game of cricket or Latin grammars in colonial Ireland). While myth deploys a number of different rhetorical strategies, its essential function is to transform “history into nature” (129).

Building upon Gramsci and influenced by Jacques Lacan (1901–81), Louis Althusser famously defines ideology as the “imaginary relationship of individuals to their real conditions of existence” (1971, 162), the latter grasped by the “subjectless” discourse of science. Moreover, no society is without ideology: “ideology is as such an organic part of every social totality . . . the ‘lived’ relation between men and the world” (1977, 232–3). Althusser’s second major intervention is to identify a series of “Ideological State Apparatuses,” the “dominant” being the school (1971, 155), whose pedagogical labor is to produce, “hail,” or “interpellate” “concrete individuals as concrete subjects” (1971, 173).

Fruitful applications of Althusser’s model to novel studies soon emerge. Pierre Macherey’s *Theory of Literary Production* (1966) develops a strategy of “symptomatic reading” in which “what is important in the work is what it does not say” (87); while Terry Eagleton explores literary texts as “a certain production of ideology” (1976, *Criticism and Ideology*, 64). However, a number of more critical responses appear as well. In *Discipline and Punish* (1975), Althusser’s student Michel Foucault broke with both

Althusser’s insistence on the “ultimately determining instance” of the economic and his lingering representationalism. Foucault argues that a diffuse structure of power he names “discipline” deploys institutions—schools, factories, barracks, hospitals, “which all resemble prisons” (228)—to form and distribute individual “‘docile’ bodies” (136).

Some marxist cultural theorists also challenged the static nature of Althusser’s concept. Henri Lefebvre critiqued the structuralist privileging of “mode of production” and “coherence” at the expense of the dialectical concepts, “relations of production,” and “contradiction” (1973, *Survival of Capitalism*, 59–68). Raymond Williams argues: “A lived hegemony is always a process. It is not, except analytically, a system or structure. . . . It has continually to be renewed, recreated, defended, and modified” (1977, 112). Williams then develops a model of culture that would include, in addition to the dominant, alternative, oppositional, residual, and emergent practices. Williams replaces the “more formal concept” of ideology with “structures of feeling,” “meanings and values as they are actively lived and felt” (1977, 132). Emergent structures are most effectively registered in literary forms like the novel, something Williams demonstrates in *The English Novel from Dickens to Lawrence* (1970) and *The Country and the City* (1973).

Williams also influenced theorists who examine how individuals and groups respond to what Althusser theorized as an ideological hailing. British cultural studies, as in Dick Hebdige’s influential study of punk, *Subculture* (1979), explored playful productive subversions of dominant values. Judith Butler investigates the “range of disobediences that such an interpellating law might produce” and the “resignifications” practiced by a variety of queer communities (1993, *Bodies that Matter*, 122) (see SEXUALITY).

Žižek returns to Lacan to develop his original theorization. Žižek argues: “ideology is not simply a ‘false consciousness’, an illusory representation of reality, it is rather this reality itself which is already conceived as ‘ideological’.” Ideology is a “symptom,” “a social reality whose very existence implies the non-knowledge of its participants as to its essence” (1989, 21). This generates a “paradox of a being which can reproduce itself only in so far as it is misrecognized and overlooked: the moment we see it ‘as it really is’, this being dissolves itself into nothingness or, more precisely, it changes into another kind of reality” (1989, 28). However, this is no simple task, and Žižek investigates how subjects, including intellectuals, resist relinquishing their symptoms.

REIFICATION AND CULTURE

The most influential development of the second trend is found in Georg LUKÁCS'S *History and Class Consciousness* (1923). Drawing upon Marx's analysis of fetishism and Max Weber's of rationalization, Lukács develops the concept of “reification.” Lukács argues that in modern capitalism, the commodity becomes a “universal structuring principle,” with the power “to penetrate society in all its aspects and to remold it in its own image” (1971, 85). Lukács shows how reification expresses itself in the division of labor, the creation of academic disciplines, modern science, and the law, each of which destroys “every image of the whole” (1971, 103). The location of the collective proletarian subject within this structure enables it to overcome these divisions, a knowledge articulated by an intellectual occupying this standpoint or transformed into practice by the party.

The concept of reification also influenced the Frankfurt School's analysis of instrumental reason. Max Horkheimer and Theodor Adorno's *Dialectic of Enlightenment* (1944) analyzes the principles of calculation and identity that dominate modern society: “Bourgeois society is ruled by equivalence. It makes dissimilar things comparable by reducing them to abstract quantities. . . . anything which cannot be resolved into numbers . . . is illusion” (4). This logic is also evident in the standardized, mass-produced commodities of the culture industry. Both mass culture and modernist art respond to reification, the former internalizing its repetitive logics, the latter resisting them (see Fredric Jameson, 1990, “Reification and Utopia in Mass Culture,” in *Signatures of the Visible*).

In the same moment, Lefebvre launches his study of “everyday life.” He expanded sociology's focus to include “work, leisure, family life and private life” whose interrelationships “make up a whole” that is “historical, shifting, and transitory” (42). These everyday activities are at once expressions of alienation and its critique (40). Lefebvre influenced later Marxist studies of contemporary life, including the Situationist Guy Debord's “society of the spectacle” (1995, *Society of the Spectacle*) and Fredric Jameson's postmodernism as “the cultural logic of late capitalism” (1991, *Postmodernism*).

IDEOLOGY, UTOPIA, AND THE NOVEL

All Marxist-influenced criticism investigates ideology in the novel. These would include, in addition to studies cited above, Lukács's later examination of the HISTORICAL NOVEL; Mikhail BAKHTIN'S work on the novel's representation of various class and group ideolects and their dialogic

interactions; Lucien Goldman's exploration of the relationship between the novel's form and its context; Michael McKeon's discussion of the novel's "explanatory and problem-'solving' capacities" (1987, *Origins of the English Novel*, 202); Nancy Armstrong's reading of the novel's role in a British middle-class cultural revolution (see CLASS); Kojin Karatani's estranging interrogation of the categories underlying the formation of the modern Japanese novel; Gayatri Spivak's analysis of the native informant; and Franco Moretti's exploration of the BILDUNGSROMAN'S role in nineteenth-century Europe). As this partial list suggests, studies of content tend to emphasize the ideology—state relationship, while studies of form focus more on economic determinations.

A groundbreaking work that brings together both is Jameson's *The Political Unconscious* (1981). Jameson develops a three-part hermeneutic of the novel. The first two levels focus on "political history," and "society, in the . . . sense of a constitutive tension and struggle between social classes" (75). In the first, "the individual work is grasped essentially as a symbolic act"; and the second investigates the "ideologeme," "the smallest intelligible unit of the essentially antagonistic collective discourses of social classes" (76). Jameson illustrates the first approach through Balzac, whose plots he reads as "the imaginary resolution of a real contradiction" (77). Jameson then uses George Gissing to illustrate how ideologemes function as "the raw material, the inherited narrative paradigms, upon which the novel as a process works and which it transforms" (185).

The second trend comes into focus with Jameson's third horizon, "history now conceived in its vastest sense of the sequence of modes of production and the succession and destiny of the various human social formations" (75). Here the text is inter-

preted as "the ideology of form . . . formal processes as sedimented content in their own right, as carrying ideological messages of their own, distinct from the ostensible or manifest content" (98–9). In his reading of Joseph Conrad, Jameson argues that modernist form (see MODERNISM) more generally be understood as "an ideological expression of capitalism, and . . . the latter's reification of daily life," and "a Utopian compensation for everything reification brings with it" (236). Jameson names this Utopian horizon in *The Modernist Papers* (2007) the "content of the form" (xix). A dialectical analysis thus should be attentive to the "form of the content," encompassing "everything called ideology in the most comprehensive acceptance of the word" (xvi), and to more Utopian "possibilities for figuration or representation" (xix).

SEE ALSO: National Literature, Novel Theory (19th Century), Novel Theory (20th Century), Realism.

BIBLIOGRAPHY

- Althusser, L. (1971), *Lenin and Philosophy*.
 Althusser, L. (1977), *For Marx*.
 Balibar, E. (1995), *Philosophy of Marx*.
 Barthes, R. (1972), *Mythologies*.
 Eagleton, T. (1991), *Ideology*.
 Foucault, M. (1977), *Discipline and Punish*.
 Gramsci, A. (1971), *Prison Notebooks*.
 Horkheimer, M. and T. Adorno (2002), *Dialectic of Enlightenment*.
 Jameson, F. (1981), *Political Unconscious*.
 Lefebvre, H. (1991), *Critique of Everyday Life*, vol. 1.
 Lukács, G. (1971), *History and Class Consciousness*.
 Marx, K. (1970a), *German Ideology*.
 Marx, K. (1970b), *Contribution to the Critique of Political Economy*.
 Marx, K. (1976), *Capital*, vol. 1.
 Williams, R. (1977), *Marxism and Literature*.
 Žižek, S. (1989), *Sublime Object of Ideology*.
 Žižek, S. (1994), *Mapping Ideology*.

Idiom *see* Figurative Language and Cognition

Illustrated Novel

MARGARET J. GODBEY

The history of illustration ranges from ancient Egyptian papyrus to twenty-first-century computer-generated images. Illustrations accompany religious texts, works of nonfiction, poetry, and narrative prose fiction, but the illustrated novel developed in the eighteenth century, primarily in France and England, and reached its height in the nineteenth century. The term *illustrated novel* refers to an extended narrative with multiple images that, together with the text, produce meaning. Therefore, the illustrated novel is not a work graced by a single decorated cover or frontispiece. Yet certain novels remain intertwined with a particular frontispiece or cover design. The interdisciplinary nature of illustrated novels recognizes the difficulty of determining what constitutes a “novel” or an “illustration,” and thus it fuels a variety of critical approaches including, but not limited to, reception studies, art history, cultural studies, bibliographical studies, and semiotic analysis. Although illustrator and author often collaborated over the original text and illustrations, subsequent editions contain illustrations an author may or may not have endorsed. Some authors illustrated their own work, and some novels had multiple illustrators. The form lost its appeal in the twentieth century as illustration flourished in children’s literature and migrated to the luxury book market. Nevertheless, critical interest in the illustrated novel continues to grow.

ILLUSTRATION AND PUBLISHING

Advances in print technology and the emerging form of the novel drove demand

for the illustrated novel and spurred artistic experimentation with various materials: wood, copper, and steel (see PAPER). Economic expansion during the eighteenth and nineteenth centuries created an audience capable of sustaining authors and artists. In France and England, illustrations were used to help a book or author stand out in the exploding literary market (see PUBLISHING). The profit from illustrated editions justified the cost of artists, engravers, and materials. The first edition of *Notre-Dame de Paris* (1831, *The Hunchback of Notre-Dame*) by Victor Hugo appeared with two title-page vignettes after Tony Johannot (1803–52). The 1836 edition appeared with a frontispiece and ten steel engravings. The spectacular 1844 Perrotin edition contained headpieces, initial letters, and tailpieces plus thirty-four wood-engraved and twenty-one steel-engraved plates by Edouard de Beaumont (1812–88), Louis Boulanger (1806–67), Charles-François Daubigny (1817–78), Johannot, Aimé de Lemud (1816–87), Ernest Meissonier (1815–91), and Auguste Raffet (1804–60). English artists such as John Everett Millais (1829–96) and Frederic Leighton (1830–96) produced images for illustrated novels and placed high art into the hands of the middle CLASS (Harvey; Maxwell). Walter Scott’s “Magnum Opus” edition included illustrations by celebrated artists Edwin Landseer (1802–73), John Watson Gordon (1788–1864), and David Wilkie (1785–1841) to increase sales and ease his dire financial situation. The presence of illustrations, the number of illustrations, and the celebrity of the artists involved reveal important information about a book’s commercial status.

METHODS AND ARTISTS

The first European illustrated books used woodcuts, and were printed by Albrecht

Pfister (ca. 1420–66) between 1460 and 1465 in Bamberg, Germany. The artist cut away sections of wood, leaving only the raised image. This format could print words and images on the same page. By the 1600s, copper engraving rivaled woodcut. The soft surface of copper allowed artists to create finer details and richer textures by using incised lines to transfer ink, but copper was expensive and its images required a separate page. Thomas Bewick (1753–1828) revolutionized the process of book illustration with end-grain wood engraving. This method, used in *A General History of Quadrupeds* (1790), produced more copies from a single plate and could print images with type. The mass-produced book could now be an illustrated book.

Steel-plate engraving, invented in 1792 by the American Jacob Perkins (1766–1849), was also employed for book illustration. Although harder to work with, steel produced more copies and held finer levels of detail and shading. In 1840, because of his strong preference for steel, J. M. W. Turner (1775–1851) refused a commission for Scott's *Waverley* novels when asked to switch from steel to wood. Aloys Senefelder (1771–1834) invented lithography by applying grease and ink to a stone surface in 1796. Lithography, and the emerging process of PHOTOGRAPHY invented by Joseph-Nicéphore Niépce (1765–1833) in 1826 and Louis Daguerre (1787–1851) in 1839, were adopted for illustrated books, but neither was suitable for large-scale publishing. The illustrated novel required attractive, quickly produced, highly detailed images durable enough to print thousands of copies from a single plate.

The techniques of earlier artists and specific cultural situations influenced the form and function of the illustrated novel. Emotional intensity is apparent in the black-and-white woodcuts of Albrecht Dürer's (1471–1528) 1498 biblical text *Apocalypse*.

Francesco Colonna's (1433?–1527) *Hypnerotomachia Poliphili* (1499) revealed artistic possibilities for intertwining text and image. From the sixteenth to the eighteenth centuries the Rococo sophistication of artists and engravers such as Hubert-François Bourguignon, known as "Gravelot" (1699–1773), Charles Eisen (1720–78), and Jean-Michel Moreau (1741–1814) elevated the French illustrated book to such heights that "illustration overshadowed the text" (Ray, 31). In England, demand for prints of William Hogarth's (1697–1764) *The Harlot's Progress* (painted 1730, engraved 1730–32) revealed a market for didactic visual narrative. During the Revolutionary Era (1776–1815) in Europe and America, illustrations were a vital form for influencing public sentiment through comic images, satiric caricature, or tragic feeling (see PARODY). From this productive history emerged three principal characteristics of literary illustration: passionate emotion, exceptional composition, and distinctive narrative. The illustrated novel draws on the rich history of book illustration to employ an intertextual vocabulary, or visual language, of allusion (see INTERTEXTUALITY). Visual references move freely between paintings, texts, illustrated periodicals, and the illustrated novel (Le Man; Skilton).

Any brief discussion of representative illustrated novels must be painfully incomplete. However, certain novels remain closely linked to their illustrations. Familiar pairings include caricatures by George Cruikshank (1792–1878) for Charles Dickens's novel *Oliver Twist* (1837–39, rev. 1846), author and illustrator William Makepeace Thackeray's allusion-filled engravings for *Vanity Fair* (1847–48) and the REALISM of Millais's images for Anthony Trollope's *Orley Farm* (1861–62). In contrast with illustrators who endeavored to support the author's text, fin-de-siècle artist Aubrey Beardsley (1872–98) resisted the term

“illustrator.” Beardsley’s distinctive sensuality embellished a book via its cover, binding, and decorative images. Both Théophile Gautier’s 1835 novel *Mademoiselle de Maupin* (illustrated ed. 1898) and Oscar Wilde’s play *Salomé* (1894) remain linked with Beardsley’s art.

An illustrator’s close association with a novel might occur posthumously, as demonstrated by Gustave Doré’s (1832–83) iconic illustrations for the 1863 edition of *Don Quixote* (1605) by Miguel de Cervantes Saavedra (see Fig. 1) and Rockwell Kent’s (1882–1971) stark illustrations for



Figure 1 Gustave Doré, “Adventure with the Windmills,” illustration from Miguel de Cervantes Saavedra, *Don Quixote*, engraving, 1870. Photo Duncan Walker/istockphoto

the 1930 edition of *Moby-Dick* (1851) by Herman Melville. After a cautious initial run of a thousand copies, the Kent edition has remained continuously in print and is credited with reviving popular and scholarly interest in Melville.

SERIALIZATION AND THE ILLUSTRATED NOVEL

SERIALIZATION allowed readers to enjoy the pleasure of a narrative with prints by famous artists. Illustrations served a practical as well as an aesthetic purpose: they advertised the story, illuminated themes, reminded readers of specific characters, helped keep multiple plot lines coherent over weeks or months, and supplied readers with information not explicit in the text. A monthly part might contain a lavish cover illustration, two steel engravings, and 32 pages of text. A final double number might contain four illustrations, 64 pages of text, and additional material such as the chapter list and preface.

The first illustrated novel in monthly parts was *The Posthumous Papers of the Pickwick Club* (1836–37), sold for one shilling per part and written by a then unknown Dickens. By the fifteenth installment it was selling forty thousand copies per issue, quadrupling the two-week sales record set by Scott's novel *Rob Roy* (1817). Dickens's humorous stories were to have accompanied comic prints by Robert Seymour (1798–1836), but following Seymour's suicide Dickens's narrative became the dominant focus. Hablot K. Browne (1815–82), known as "Phiz," completed the illustrations and went on to illustrate ten of Dickens's novels.

Browne and Dickens had a close but difficult collaboration. Robert L. Patten outlines the steps Browne took in order to produce illustrations for part four of *David Copperfield*:

It is likely that Browne saw [the] proof of his first subject early in the month. That left him a little more than a fortnight to design the first plate, get it approved by Dickens, design a second . . . get it approved, trace each plate onto two different steels, have his assistant pull proofs, print both plates in duplicate—making some twenty-four thousand copies of each plate, or twelve thousand per steel—and get all the copies to the printers in time for the plates to be bound up with the text and wrapper for sale on Saturday, 1 September. (96)

The speed of production speaks not only to Browne's skill, but also to the artistic relationship between author and artist. Published after Dickens's death, Cruikshank's pamphlet "The Artist and the Author" (1872) argues that he was responsible for the plot and certain characters in *Oliver Twist*. Although disputed, his claims suggest the collaborative relationship necessary between the serialized illustrated novel's author and illustrator.

CRITICAL ISSUES

Illustrated novels are fertile ground for cultural studies and literary criticism. During the eighteenth and nineteenth centuries, questions concerning aesthetics, the relationship between image and text, and how meaning is conveyed were prompted by rapid cultural changes. What could be seen by the human eye, what remained invisible, and how accurate one's interpretations could be were questions of deep interest and concern to Victorians (Flint). The eye could be misled, words could be misunderstood, but if descriptions were based on visual experience, on observation, or "fact," then words could attach meaning to those images. Together, words with images could create narrative "truth." For example, visual representations of historical objects seem to authenticate Scott's historical fiction. Cruikshank's caricatures tightly intertwine

text and image to emphasize Dickens's social critique.

In contrast, Thackeray's illustrations for *Vanity Fair* contain deliberate ambiguity. The plate "Becky's second appearance in the character of Clytemnestra" (Fig. 2) may support the text's explanation for Jos's death, or provide an unspoken, more violent one. Thus, Thackeray deliberately calls into question the reader's ability to interpret either text or image. Further questions arise from John Leech's (1817–64) illustrations for Dickens's story *The Battle of Life* (1846). Leech supplied an illustration for an event that is described but does not occur. Readers remain unaware of this divergence until later in the text. Patten points out that this moment reveals fundamental questions faced by authors and illustrators: "who, author or illustrator, is going to show what, actual or imagined event, when?" (93).

Paul Goldman and David Skilton both emphasize the importance of original illustrations. Skilton explains that "literary illustration in fact occupied a central place in Victorian visual and verbal culture" and asserts that illustrated novels should be recognized as the "bimodal works they are" (par. 1, 24). Yet questions remain. Are illustrations necessary to the work? If so, then how? If not, why not?

Illustrations can liberate, suggest, or open up speculation to the reader through their originality or their relationship to other images, but they can also limit, impose, or fix certain interpretations. Although integral to the serialized and three-volume novel throughout the nineteenth century in Europe and America, illustrations were also viewed as secondary, operating merely in service to the text or as distractions from the text. Regarding her novel *Romola* (1862–63), first serialized in *Cornhill Magazine* with illustrations by Leighton, George Eliot wrote of the "inevitable difficulty—nay, impossibility of producing perfect cor-

respondence between my intention and the illustrations" (G. S. Haight, ed., 1956, *Letters* iv:40). In his preface to the New York edition of *The Golden Bowl* (1909), Henry James called illustration "a lawless incident." The presence, or absence, of original illustrations, as well as the addition of alternate illustrations, calls attention to a novel's publication history, its reception, and its cultural status.

Indeed, the relationship between image and text, like that between authors and illustrators, can become uncomfortable over time. For modern readers, original illustrations may present certain difficulties. Edward Windsor Kemble's (1861–1933) illustrations for *The Adventures of Huckleberry Finn* (1885) by Mark Twain are rarely reprinted because, as Earl F. Briden argues, Twain seems to be "in effect authorizing a pictorial narrative which runs counter to major implications of his verbal text" (384). Charles Howland Hammatt Billings's (1818–74) illustrations for the 1852 and 1853 editions of *Uncle Tom's Cabin* (1852) by Harriet Beecher Stowe also reveal stark differences between nineteenth- and twenty-first-century sensibilities about race.

DECLINE OF THE FORM

Several forces contributed to the decline of the illustrated novel as a popular form. First, the single-volume novel replaced the serialized and three-volume novel. Second, psychological realism and MODERNISM'S fragmented subjectivity resisted isolating the single moment and diminished interest in illustration. Third, the desire to break away from preceding literary forms after WWI (1914–18) contributed to a waning interest in the illustrated novel. Finally, eliminating illustrations was an effective way to contain costs.



Becky's Second Appearance in the Character of Clytemnestra.

Figure 2 William Makepeace Thackeray, *Vanity Fair*: “Becky’s Second Appearance in the Character of Clytemnestra,” engraving, 1865. Photo © Duncan Walker/istockphoto

Perceptions about illustration shifted during the “Golden Age” of children’s book illustration (1865–1939). Illustrations are

deemed essential to certain works of children’s literature, which have “entered into the national consciousness” of generations

of readers (Bland, 367). These include illustrations by John Tenniel (1820–1914) for the 1866 reprint of *Alice's Adventures in Wonderland* by Lewis Carroll (Tenniel rejected the 1865 printing), E. H. Shepard's (1879–1976) images for the 1931 edition of *Wind in the Willows* (1908) by Kenneth Grahame, and illustrations by Quentin Blake (1932–) for numerous works by Roald Dahl.

In addition to children's literature and scholarly editions reprinting original illustrations, the illustrated novel continues in luxury editions of classic texts illustrated by recognized artists. The 1903 edition of *À rebours* (1884, *Against Nature*), written by Joris-Karl Huysmans and illustrated by Auguste Lepère (1849–1918) was a tour de force of literary illustration, of which only 130 copies were printed. Contemporary examples include illustrated collector's editions of Jane Austen's novels. Whether the cultural currency of the GRAPHIC novel, developments in publishing technology, or the novel's changing form will revive the illustrated novel remains to be seen. What is clear is that an extensive body of recent scholarly work addresses the complex relationship between text and image.

SEE ALSO: Reprints, Typography.

BIBLIOGRAPHY

- Bland, D.A. (1969), *History of Book Illustration*.
- Briden, E.F. (1995), "Kemble's 'Specialty' and the Pictorial Countertext of *Huckleberry Finn*," in *Adventures of Huckleberry Finn*, ed. G. Graff and J. Phelan.
- Flint, K. (2000), *Victorians and the Visual Imagination*.
- Goldman, P. (2005), *Beyond Decoration*.
- Harvey, J.R. (1971), *Victorian Novelists and Their Illustrators*.
- Le Men, S. (1994), "Book Illustration," in *Artistic Relations*, ed. P. Collier and R. Lethbridge.
- Maxwell, R. ed., (2002), *Victorian Illustrated Book*.
- Patten, R.L. (2002), "Serial Illustration and Storytelling in *David Copperfield*," in Maxwell.
- Ray, G.N. (1986), *Art of the French Illustrated Book, 1700 to 1914*.
- Skilton, D. (2007), "The Centrality of Literary Illustration in Victorian Visual Culture," *Journal of Illustration Studies* (Dec. 2007). <http://www.jois.cf.ac.uk/articles.php?article=30>.
- Implied Author** see Author; Narration
- Implied Reader** see Reader
- In Medias Res** see Time
- Indigénisme** see France (20th Century)
- Indigismo** see Andes

Intertextuality

MARIE-MADELEINE GLADIEU

Intertextuality refers to the relationship among texts that echo or refer to one another, often through allusion, citation, or borrowing. Laurent Jenny defines intertextuality as "the necessary precondition of reading literature," and Michel Riffaterre, as the mechanism of literary reading itself. This change in ways of thinking about literary texts began in the final years of the 1960s and in the following decade, when Mikhail BAKHTIN coined the notion of dialogism in 1970 and when the word intertextuality was used for the first time by Julia Kristeva in *Séméiotikè* in 1969 (1980, *Desire in Language*).

Several critics have argued for a historical dimension to intertextuality. The process of writing in the Middle Ages, the Renaissance, and the baroque and classical periods often amounted to creating a new version of previously existing narratives or texts, giving new form to a theme which in most cases was not original. In such cases, intertextuality was an inherent part of the process of rewriting and practically went without saying. These periods, then, did not encounter

the problem of intertextuality per se. It is only when literary production is no longer tied solely to the author's vision, when it is divided between two poles, the writer—the initial creator—and the reader—the second creator—that the notion of literary reading truly emerges, and with it that of intertextuality.

The question of intertextuality thus revolves around the three forms of literary *intentio* (intention) outlined by Umberto Eco (1990, *The Limits of Interpretation*): *intentio scriptoris* (writer's intention), *intentio operis* (text's intention), and *intentio lectoris* (reader's intention). It brings into play the author, the text, and the reader. Paul Ricoeur speaks of a "process of recognition" in three senses of the term: recognition as identification, self-recognition, and recognition of the other (2007, *The Course of Recognition*, trans. D. Pellauer). The first stage consists in identifying and recognizing the presence of intertexts in a given text, and in addressing the problem of how this identification is possible. Moreover, intertextuality raises the question of memory and time. Like a palimpsest, the text and the brain itself presuppose the insertion of a subject, first author and then reader, in a historical time outside of which there can be no construction of the self to serve as the basis for self-recognition. And insofar as memory plays a role in the construction of identity, which is itself inseparable from the process of socialization, the intertext inserted by the writer and recognized by the reader, who uses it as a starting point for reconstituting a text, involves the relationship between the reader and the Other.

The notion of text inevitably includes that of intertext. In his article "Theory of the Text," published in the *Encyclopaedia Universalis* in 1968, Roland Barthes explains that the notion of text shifted from the expression of an author's absolute Truth to the idea of a

continuous production of meaning. The text no longer expresses a single meaning imparted by the author at the moment of writing, but serves as a vehicle for other, prior connotations. In the 1960s there emerged a "crisis of signification" due to the evolution of philosophy and the development of LINGUISTICS. The notion that textual utterances were endowed with stable meaning gave way to the idea that they were valid in a given context. A new theory of meaning appeared during this period: semiotics, which raised the question of signification at the level of the text's macrostructure rather than merely at the level of the sentence. Under the influence of the Prague School, research on the "poetics of form" was conducted (see FORMALISM). Grounding his work in this research, as well as in Marxism and psychoanalysis, Barthes reduced the scope of the author's *intentio* and underlined the importance of determining factors—social structures, the unconscious—beyond authorial control (see MARXIST, PSYCHOANALYTIC). For Barthes, a text is a texture, an interwoven fabric; it is a signifying practice accomplished in relationship to the discourse of the social Other (the interrelational dimension) and of the Other that inhabits us (the unconscious). As a result, the text is produced by a psychically plural subject. The signifier can always be interpreted by either writer or reader in a manner that differs slightly from precedent: this leads to the notion of the productivity of the text, which produces meaning. This productivity, which is also called *signifiance*, is opposed to signification, which is rigid, fixed, the result of applying interpretive doctrines to the text. *Signifiance* is open to contradiction. Like Kristeva, Barthes differentiates *phenotext*, or written text, and *geno-text*, the site of *signifiance*. Intertext, then, designates the text as a meeting place for prior and contemporary utterances, transcribed faithfully or unfaithfully, identifiable or unidentifiable, conscious

or unconscious. Intertextuality thus goes beyond the mere elucidation of a text's sources.

"The work can be held in the hand, the text is held in language," writes Barthes, by which he means that the work is closed, while the text is open. The text, he affirms, "is only language and can only be experienced via another language." But simultaneously, in its "textual specificity," text becomes one with *signifiante*, an unstable entity in constant tension which tends to exceed its own limits. *Semanalysis*, a concept invented by Julia Kristeva, is the science of the geno-text's shifting meanings. If the trend in textual theory is toward writing (*écriture*), to suggest that "commentary should itself be a text" amounts to postulating that the text as it is read becomes the intertext of a "text that reads."

For Michel Arrivé, the text is *poly-isotopic*. Following the lead of François Rastier and Algirdas Julien Greimas, he distinguishes between formal and semantic isotopies. Interlocking isotopies make it possible to go back to other utterances located upstream from the text. The isotopy, defined as an assemblage of disparate elements gathered under the heading of a single structural unit, makes it possible to avoid reducing the intertext to only those elements that are based on a syntactical continuity. According to Arrivé, literary texts present isotopies "which are not manifested by any lexeme" and called connoted isotopies.

We thus arrive at five definitions of intertextuality:

1. Intertext denotes each (external) utterance whose direct or transformed presence the reader identifies in the text.

2. For Riffaterre, the intertext is "all of the texts that can be brought into a close relationship with the text at hand." He gives this definition in his article "L'intertexte inconnu" (1981, *Littérature* 41).

3. By intertext, Laurent Jenny designates the "host text" insofar as it contains a certain number of heterogeneous utterances: "the text absorbs a multiplicity of texts while remaining anchored by a central meaning."

4. Arrivé hesitates between a global version—the intertext is "all of the texts among which relationships of intertextuality are functioning"—and a more targeted version—"the site of the manifestation of the connoted isotopy," a formal or semantic isotopy.

5. For others, the intertext is the space of free play created by different, preexisting utterances meeting within a given text: intertext would then be a synonym of intertextuality.

With time, the first definition became the accepted one: the term "intertextuality" refers to everything that concerns the relationship among texts; intertext refers to any external utterances whose direct or transformed presence can be identified in the text being read. Literary theory has shifted from a broad understanding of intertextuality (Barthes, Kristeva) to a more circumscribed understanding (Bouillaguet, Genette). For Kristeva, in *Desire in Language*, the presence of paintings in a novel is an intertext; the *idéologème* (exposition of a social and/or historical situation) is also an intertext. Laurent Jenny, in "La stratégie de la forme," considers the reference to a text as a genre, the transformations of meaning and form, and the literal reproduction of a heterogeneous utterance as intertexts. He begins to constrict the notion of intertextuality.

In *Palimpsests*, Gérard Genette calls all types of relationships among texts transtextuality. He identifies five forms; architextuality (generic relationship to a category of text), metatextuality (a commentary of a prior text by a second text), paratextuality (the role played by the peripheral guidelines accompanying the publication and criticism of a text), hypertextuality (the rewriting of a prior text or hypotext), and intertextuality

(the relationship of copresence between two or more texts).

Intertextuality manifests itself in three ways: citation, plagiarism, and allusion. In an article on intertextuality (“Une typologie de l’emprunt”), Annick Bouillaguet adds the reference, defined as the mere mention of an author’s name or of a work’s title. When intertextuality is literal or explicit, it is called citation. When it is literal and non-explicit, it is called plagiarism. Nonliteral and explicit, it is a reference; nonliteral and nonexplicit, it is an allusion. Let us note that plagiarism covers the usurpation of author’s rights (see COPYRIGHT) as well as collage, which comes under the heading of another problem. Moreover, according to Genette, intertextuality often takes the form of hypertextuality, the transformation of a hypotext into a hypertext (a text that is read); Kristeva, Barthes, and Philippe Sollers link intertextuality to the notion of the text’s productivity and to *signifiance*. And Jenny affirms that “the very essence of intertextuality for the poetician” is situated in “the work of assimilation and transformation which characterizes any intertextual process.”

In “Intertexte et autotexte,” Lucien Dällenbach adds the notion of autotext. The intertext refers to texts by other authors, while the autotext refers to texts by the same author. For his part, Jean Ricardou distinguishes between general intertextuality (the relationship to different authors) and restricted intertextuality (the relationship to the works of the same author).

In a later, 1989 entry in the *Encyclopaedia Universalis*, “Intertextualité (Théorie de l’),” Pierre-Marc de Biasi defines intertextuality as “the elucidation of the process by which any text can be read as the integration and the transformation of one or several other texts.”

What role does the author’s intention and the reader’s power of identification play in

intertextuality? The reader’s identification of the intertext sometimes surprises the writer, who had no intention of playing the intertextual game. Inversely, authors sometimes reveal the presence of a hidden intertextual layer at the origin of their work. A limit case of intertextuality that Ferdinand de Saussure (1857–1913) claims to have discovered in Latin poetry also deserves mention—the hypogram (theme-word) hidden by Venus in Lucretius’s work *De rerum natura* (first c. BCE, *On the Nature of Things*). It is sometimes hard to distinguish between the author’s intention and the reader’s recognition of a hypotext.

In *Confessions of an English Opium Eater* (1821), Thomas de Quincey (1785–1859) compares the human brain to an immense, natural palimpsest where poems of joy and pain have been engraved and lie dormant, ready to come to the surface one day. This image refers to the author, but also to the reader. It underlines the double polarization of any utterance. Bakhtin affirms that all understanding is, in reality, dialogic, that original meaning is enriched by a supplement constructed by the “second recipient”—in the case of a written text, the reader.

The problem of the recognition-identification of intertexts raises the question of their misrecognition: forgetting, as well as the evolution of cultures, of contexts, leads to deliberate intertexts going unnoticed. Criticism and scholarship can help to fill this gap. The intertext sometimes guides the reader toward the constitution of the architect, both by its title and what it triggers in the reader’s memory: it thus has an impact on the *contrat de lecture* (reading contract).

If, as Riffaterre argues, the identification of the intertext is indeed the condition of literariness, it has repercussions on reading. The act of borrowing from another work—the presence of a “second hand,” as Antoine Compagnon puts it (1979, *La Seconde Main*)—may occur as homage, mockery, or

merely a complicit wink. The relationships between texts is either serious, satirical, or playful. Intertextuality breaks with the linearity of a text, amplifies the circulation of meaning and the movement from the denotative to the connotative realm.

In *The Course of Recognition*, Paul Ricoeur adds a philosophical dimension to intertextuality. The word "recognition" is linked to two ideas: the emergence of meanings (*faits de pensée*), and the idea that these meanings do not emerge ex nihilo. In writing, there exists a sort of intertextual fertile ground. Ricoeur distinguishes three levels of recognition: the recognition-identification of intertexts, the self-recognition resulting from the symbolic play born of this recognition, and the mutual recognition that occurs when the author's text becomes the intertext of the reading text. Identity and alterity, then, underpin intertextuality.

BIBLIOGRAPHY

- Allen, G. (2000), *Intertextuality*.
- Arrivé, M. (1973), "Pour une théorie des textes poly-isotopiques," *Langages* 31:53–63.
- Bellemin-Noel, J. (2001), "Interlecture versus intertexte," in *Plaisirs de vampire*.
- Block, H. (1958), "The Concept of Influence in Comparative Literature," *Yearbook of Comparative and General Literature* 7:35–37.
- Bouillaguet, A. (1989), "Une typologie de l'emprunt," *Poétique* 80:489–97.
- Dällenbach, L. (1976), "Intertexte et autotexte," *Poétique* 27:282–96.
- Eco, U. (1990), *Limits of Interpretation*.
- Genette, G. (1997), *Palimpsests*, trans. C. Newman and C. Doubinsky.
- Jenny, L. (1976), "La stratégie de la forme," special issue, *Poétique* 27:257–81.
- Orr, M. (2003), *Intertextuality*.
- Piégay-Gros, N. (1996), *Introduction à l'intertextualité*.
- Riffaterre, M. (1984), *Semiotics of Poetry*.
- Starobinski, J. (1980), *Words upon Words*.
- Todorov, T. (1984), "Intertextuality," in *Mikhail Bakhtin*.

Iran

KAMRAN TALATTOF

As a specifically literary genre, the Persian novel may have had its roots in the Western tradition, especially if we consider the fact that the rise of the Persian novel followed a wave of translation of European and particularly French novels into Persian (Balay, Kamshad). And as far as early novelistic themes are concerned, they were devoted to historical events (Aryanpur, Kamshad, Yavari). However, one may also consider the long tradition of classical narrative poetry, fable writing, poetic romances, and prose fiction as indigenous sources of the Persian novel. In this vein, the narrative poetry of Hakīm Abu'l-Qāsim Firdawsī Tūsī (940–1020) and Nezami (ca. 1141–1209), the Indo-Iranian stories of "One Thousand and One Nights," koranic/biblical stories, and the popular legend of Amir Asrsalan Namdar, which were circulated in society orally for many centuries before being written down, are prime examples. Christophe Balay believes that the latter work is the last story to be written in the old, traditional form of narrative. Like MIKHAIL BAKHTIN, Balay cautiously uses the term novel in association with old or long narrative stories. This relationship between the old and the new is present more strongly between classical Persian short stories and the European GENRE of short story, an analysis of which can help further understanding of the changes that Persian prose has experienced since the nineteenth century.

No matter how we define the genre of these older works, their influence has certainly lasted until today. For example, Nezami's *Layli o Majnun* (1192, Layli and Majnun) inspired many love stories set in the modern era. Nezami's characters in this work are very complex, a feature Bakhtin attributes to the modern novel. Even *Golestan* (The Rose Garden) by Sa'di (thirteenth

century), which consists of stories and maxims, influenced the narratives of such contemporary novelists as Sayyed Mohammad, Ali Jamalzadeh and A. M. Afghani.

Perhaps the most important impact of the Western novels, which were translated into Persian in late nineteenth and early twentieth centuries in good numbers, was the simplicity and realistic style with which the authors of Persian novels learned to write their own work in a written language. The translations were done from French as well as English and occasionally from other languages. That is, as contact with Europe increased and ideas of modernity helped end the Qajar Dynasty (1795–1925), the number of translated novels also increased. These translations (often done freely, unfaithfully, and creatively) included some of the major works of Voltaire, Molière, Alexandre Dumas, Jules Verne, and Daniel Defoe.

The intellectual and reform activities that gave rise to the constitutional movement and revolution of 1905–11 and a number of other ensuing events (including the introduction of the press and the advent of translation activities, which began along with the deployment of Iranian students to European countries) led political activists to embrace nationalism as the dominant discourse, reform as a course of action to improve the social condition of the country, and the novel as an effective tool. The culmination of these events was the rise of Reza Pahlavi (1878–1944) to the throne in 1925, ending the long reign of the Qajar Dynasty, during whose rule some reform projects were initiated, but the state suffered from mismanagement, extravagance, and incompetence. The presence of the European powers in Iran and the competition among them for increased control of Iran's politics and natural resources further strengthened feelings of nationalism, which included a nationalist (see NATIONAL) literary discourse that emphasized the importance of the Persian language

and the necessity of maintaining, improving, and updating it for the sake of modernization of the country (Talattof).

THE PERSIAN NOVEL AND SOCIAL CHANGE

Yet, no matter how we perceive the nature and the process of the “development” of the Persian novel, the genre—especially in its European form—became popular with the rise of a national interest in modern life in the late nineteenth and early twentieth centuries. Further, it was only after the 1979 Revolution that the novel rose to such prominence that it surpassed Persian poetic forms as the predominant literary medium for the expression of social concerns, cultural issues, problems of identity, CLASS struggle, political dissent, and, eventually, GENDER relations and SEXUALITY. There have been many changes in the way these issues have been addressed by literary critics. The Persian novel has developed from the literary movements of each successive age, or what may be called “literary episodes” (Talattof). In each of these episodes, the types of novel translated also related to the dominant themes, style, and social concerns of the time.

In the early period, Zayn al-'Abedin Maraghe-i published his *Siahat-nama-ye Ebrahim Beg* (*The Travel Diary of Ebrahim Beg*, 3 vols.) in and outside Iran during the last two decades of the nineteenth century. Even though the book is a sort of travelogue, some believe that there are some novelistic qualities about it. The critical view of the author about Persia under the Qajar Dynasty is evident from the very first segment of the first volume. There, he appeals to Persian writers to take up the cause of social reform and consider the importance of the press as a vehicle for furthering such reforms.

Another long (two-volume) fictional work of the same period is *Safinah Talebi*

(1893–94, Talebi Anthology), also known as *Ketab-e Ahmad* (The Book of Ahmad). It is written in the same style as Jean-Jacques Rousseau's *Émile* (1762) by 'Abd-al-Rahim Talebof (Taleb, before he moved to Caucasia), a reformist, social critic, and writer, born in Tabriz, Iran, into a carpenter family. He died in 1911 (Adamiyat, 1–2). Like the works of Maraghe-i, this influenced the Constitutional movement (Balay, 40). In this work too, one can see a strong tradition of classical Persian advice books.

After the Constitutional Revolution (1906–11) which gave rise to national aspirations and a quest for modernization, a number of leading Persian writers consciously began to write in a language that was less formal and closer to the language and idioms of ordinary people. For example, Morteza Moshfeq-e Kazemi surprised readers by publishing his novel *Tehran-e Makhuf* (1922, The Terrible Tehran) in this new parlance. As in the earlier works, he too presented strong social criticism of the current situation in the country and the lack of modernity in his society. Some of his contemporaries, such as Mohammad-e Hejazi, Mohammad Mas'ud, and Jahangir Jalili then wrote in a similar style about similar topics. Works by Hejazi such as *Ziba* (1931) and *Homa* (1927) were in particular quite popular.

M. A. Jamalzadeh was a satirist who often created humorous situations with diverse characters representing ordinary people and using all manner of diction and dialects (see PARODY). As a result, and by adding a large number of Persian colloquial idioms, he blazed a new path in Persian fiction writing and expanded its vocabulary. Thematically, he dealt with issues as diverse as the attitudes espoused by Western-educated Iranians, the injustices of the justice system, and the corruption that plagued the practice of Islam in his time. His *Dar al-Majanin* (1941, Insane Asylum), for example, portrays a

number of characters' psyches in some existential and social contexts.

Sadiq Hidayat wrote several collections of short stories before his most famous novella, *Buf-i Kur* (1936, *The Blind Owl*). Displaying complicated formal and stylistic innovation, *Buf-i Kur* has become Iran's most controversial and celebrated work of fiction. It is a two-part story about the life of an anti-religious pen-and-ink artist who, as an outcast of society, struggles to come to terms with his own identity and a life of opium addiction and impotence. The first part depicts his destitute situation as a man unfulfilled in life or love. In the second part of the novel, after falling down a well and going back in time, the man wakes up to find that he is an Indian dancer and the impotent husband to a prostitute wife.

In the period between the 1950s and the 1979 Revolution, a myriad of fiction writers such as Hushang Gulshiri, J. Mir Sadiqi, Sadiq Chubak, and Mahmud Dawlat'abadi were part of a leftist literary discourse that criticized Iranian society under the monarchist state and aspired to a revolution. At times, they were directly involved in revolutionary activities organized by underground organizations. In *Klidar* (1983), Dawlat'abadi's ten-volume novel, which depicts life and class struggles in northeast Iran, the peasants, urban petite bourgeoisie, and intellectuals—Muslim as well as non-Muslim—unite in the fight against landlords, capitalists and the oppressive forces who support them. Dawlat'abadi portrays all these characters according to their position vis-à-vis sociopolitical issues regarding the mode of production and according to the characteristics of their social class.

Simin Danishvar established her reputation as one of the best-known female fiction writers of modern Persian literature with the publication of a number of short stories and the bestselling novel, *Savushun* (1969). Set in the province of Fars after WWII, *Savush-*

un depicts the life of a woman named Zari who is married to Yusuf, a political activist involved in a resistance movement against the Allied forces.

POST-REVOLUTIONARY NOVELS

The status, style, and thematic contents of the Persian novels in Iran changed after the 1979 Revolution which replaced a secular authoritarian regime with a religious state. The new state immediately began to suppress Marxist and other leftist activities that had increased during the course of the revolution (1976–79), causing literary communities to decentralize. Without the hegemony of committed literature, other social and literary discourses such as Islamic, liberal, as well as FEMINIST movements and writings emerged. Also, for the first time in more than a millennium, Persian poetry lost its hegemonic status among the literary genres. The revolution, its aftermath, and the ensuing Iran—Iraq war were too immense and too tragic for the genre that had long departed from the classical forms of *masnavi* (poem in rhyming couplets) or its narrative expressions. In this atmosphere, the novel gained an unprecedented significance.

One of the first post-revolutionary novels that was highly praised soon after its publication was *Sanfuni-ye Mordegan* (1987, *Symphony of the Dead*) by Abbas Marufi. It follows the fate of the Urkhani family in the northern town of Ardabil between WWII and the 1979 Revolution. Members of the family recall eerie memories of their dysfunctional family life, which eventually ends in a dire collective calamity. Marufi masterfully depicts the effect of national and international sociopolitical changes on the fabric of that provincial town while using multiple points of view, a symphonic form, and a stream-of-consciousness narrative. In all of this, he offers up some prophetic

insight into the fate of Iranian society. The sequence of events and plot twists regarding this family together construct an allegory about the transformative, and sometimes destructive, cultural elements and forces acting in society. The novel and its metaphors navigate through a range of intense and sensitive topics including literary ambition, poetic dreams, tyranny, marginalization, ethnic tension, book burning, brutality, murderous tendencies, unfulfilled love, and gender oppression. Later, Marufi, also the editor of the literary journal *Gardun*, was prosecuted for conspiracy against the state and left the country in 1996. The author's exile makes the novel's allegory more potent, more exasperating, and even more real. Together, the author and his allegory embody in many ways the story of post-revolutionary Persian literature.

THE NOVEL AND FEMINIST LITERARY DISCOURSE

The novels inspired by official discourse or Islamic thought did not receive much attention in the literary communities. The only exception might be some of the works of Mohsen Makhmalbaf, who is better known as a filmmaker. However, and ironically, the Islamization of the country caused the emergence of an unprecedented range and number of literary works by women. That is, since the late 1980s, literature has become a particularly important medium for women's self-expression because public space for discussion and debate was extremely limited. Shahrnush Parsipur and Muniru Ravanipur were among the pioneers in this regard. Although Shahrnush Parsipur started publishing before the Revolution, she became a well-known writer in the 1980s. Two of her works, *Tuba va Manayi Shab* (1989, *Touba and the Meaning of the Night*), and *Zanan Bedun-e Mardan*

(1990, *Women without Men*), were both popular and controversial and brought her fame. Ravanipur's *Del-e Fulad* (1990, *Heart of Steel*) tells the story of a young woman writer, Afsanah, a victim of an abusive relationship in which her husband even uses her as a gambling pawn. She leaves this patriarchal marriage in search of a new life and an opportunity to write an historical story, her own version of history.

Since the rise of the feminist literary movement, many women have written best-selling novels. The novel *Bamdad-e Khomar* (*The Morning After*) was written in 1995 by Fataneh Haj Sayed Javadi, a novice female writer, and it soon broke the bestseller record of any novel ever published in Iran. Within two years, it was reprinted nine times and sold 150,000 copies, and by 2005, it had been reprinted more than thirty times and by some estimates, nearly a million people had read it. This movement was reflected in more than one novel. *Bamdad-e Khomar* shares its status as bestseller with other women's works, such as Zoya Pirzad's *Chraghha ra Man Khamush Mikonam* (200, I Can Only Turn the Lights Off) and *Aadat Mikonim* (2004, We Will Get Used to It); Parinush Sani's *Sahm-e Man* (2002, My Share); Shohreh Vakili's *Shab-e Arusi-e Man* (2003, My Wedding Night); and Nahid Tabatabai's *Abi va Surati* (2004, Blue and Pink). In all these novels, the issue of the use of language plays an important role in constructing the struggle of women with one or another aspect of life in a situation that is directly or metaphorically contemporary.

In brief, since the inception of its modern form in the late nineteenth century, the Persian novel has gone through a number of significant thematic and stylistic changes. The changes have always been connected with the broader intellectual and ideological movements within society. In the process, the Persian novel has contributed to the formation of history, has influenced events,

and has been influenced by societal changes. During all this time, writers have often faced CENSORSHIP, danger, and various limitations but have also continued to inspire people, convey hope, and criticize social ills. In the process, numerous prominent and long-lasting works have also been produced which may not have gained the same international acclaim of classical narrative poetry but have certainly enjoyed a positive international reception. Generally, the genre enjoys increasing popularity as it continues to be animated by new content and forms. In recent decades, a good number of women's novels (including the works of Parsipur and Pirzad) have been translated into European languages and, like *Buf-i Kur*, have found an interested readership abroad.

BIBLIOGRAPHY

- Abedini, H. (1990), *Sad Sal Dastan Nevesi*.
 Bakhtin, M.M. (1981), "The Epic and the Novel," in *Dialogic Imagination*, ed. M. Holquist.
 Balay, C. (2007), *Paydayesh-e Roman-e Farsi*.
 Kamshad, H. (1966), *Modern Persian Prose Literature*.
 Talattof, K. (1999), *Politics of Writing in Iran*.
 Talattof, K. "Zayn al-'Abidin Maraghe-i (1838–1911)," in *Encyclopaedia Iranica*, <http://www.iranica.com/>
 Talattof, K. "Abd-al-Rahim Talebof (1834 -1911)," in *Encyclopaedia Iranica*, <http://www.iranica.com/>
 Yavari, H. (1995), *Psychoanalysis and Literature in Iran*.
 Yavari, H. (2002), "The Persian Novel," Iran Chamber Society.

Irony *see* Figurative Language and Cognition

Italy

SAMANTHA CLARK AND FRANCESCO ERSPAMER

Italy boasts one of the richest literatures in the world, with a tradition dating from the

thirteenth century and influencing the development of many GENRES, including narrative and lyrical poetry, the novella, the pastoral, drama, and opera—but not the novel. It is significant that the most acclaimed Italian novel, Alessandro Manzoni's *I promessi sposi* (1827, *The Betrothed*), inescapable reading in Italian schools, has attracted far less attention abroad than works by his contemporaries Honoré de Balzac, Stendhal, Nikolay Gogol, Charles Dickens, and Johann Wolfgang von Goethe, all of whom understood that narrative prose, unlike poetry, demanded a continuity and *quantity* of works, and not quality alone. Manzoni wrote and rewrote a single novel, succeeding in creating a masterpiece and a national treasure but failing to reach the critical mass that would have been needed to establish fiction as the dominant tool for expressing collective feelings and desires. It took almost fifty years before Giovanni Verga and Gabriele D'Annunzio, the greatest novelists of newly unified Italy, started ambitious cycles—end-of-the-century *comédies humaines*. Still, poetry remained Italy's most prestigious genre until WWII; and when narrative fiction took over, the vast majority of bestsellers were translations of stories imported from the U.S., Northern Europe, and South America. Italian literature's resistance to its democratization and commodification persisted until the last years of the twentieth century. It was Andrea Camilleri, an extremely prolific writer (unlike Manzoni), who finally legitimized mysteries (see DETECTIVE) and other forms of popular fiction, overcoming the scorn of critics and serious authors and providing the Italian novel with the full flexibility that it needed to give voice to a society in rapid transformation.

LOVE AND POLITICS

Italians responded quickly to the first appearance of the novel. The translation of

Miguel de Cervantes de Saavedra's *Don Quixote* (1605, 1615) appeared in 1622: two years later Giovan Francesco Biondi published the first of a trilogy of heroic-gallant stories that wavered between the old aristocratic ethos and the bourgeois affirmation of ordinary life. Before the end of the century some two hundred novels had been printed, several of them with considerable success—Giovanni Ambrogio Marini's *Colloandro fedele* (1652) was still read in the second half of the 1800s. These early works intended to entertain their readers but at the same time to educate them. They proved a powerful tool to reach a larger audience and influence it in a subtler way than poetry or pamphlets. Well aware of that, the Church sent a clear signal: young Ferrante Pallavicino, prolific author of irreverent and libertine novels, was tricked into visiting a territory under Papal jurisdiction, brought to trial, and beheaded. It was bad enough to have blasphemous or heretic ideas, worse to promote them through the deceptive medium of fiction (see CENSORSHIP).

The rise of the Italian novel occurred only at the beginning of the nineteenth century, as a direct consequence of the *Risorgimento* (1815–70), the movement for the liberation and unification of Italy. Until then, Italy had remained a mosaic of small states, and lacked the new middle class that elsewhere recognized in the novel the genre best able to express its new interests and priorities. Ugo Foscolo found the formula for success: love and politics, a combination that has dominated Italian narrative ever since. His EPISTOLARY novel *Ultime lettere di Jacopo Ortis* (1798, *Last Letters of Jacopo Ortis*) tells the story of Jacopo's impossible passion for Teresa: ending tragically with the protagonist's suicide, it glorified sentiment over reason, beauty over profit, and idealism over compromise. Jacopo's inner feelings emerge from his personal letters, but his political commitment projects them onto the public sphere, integrating the bourgeois

pursuits in the social and the private domains. The novel proved quite influential, and its solemn style and sublime content persuaded the cultural and academic establishment to fully accept it.

Manzoni was even more successful. He understood the urgency of giving Italian fiction a founding masterpiece and for more than twenty years attended to just that. Significantly, he chose to set his *Promessi sposi* in the seventeenth century, which had seen the birth of European modern fiction, and pretended to be the editor of an old manuscript—the novel that Italy had not had (see *FRAME*). As in *Jacopo Ortis*, the plot centers on a problematic love against the backdrop of social unrest and political tensions. There are numerous characters and many points of view: *Promessi sposi* is a grandiose and minutely detailed fresco of a period and an atmosphere painted from the perspective of the lower classes, of the powerless (see *CLASS*). However, Manzoni retains control of all aspects of the novel, carefully placing his story within a system of Catholic values and subjecting the thoughts and actions of his characters to the linguistic and conceptual filter of the narrating voice.

The fitting conclusion to this long phase of affirmation was the *Confessioni di un Italiano* (1857–58, *Confessions of an Italian*) by Ippolito Nievo, a fictional autobiography of a man born before the French Revolution and still alive on the brink of Italy's unification. Again, personal history and collective development of national identity are woven together, but Nievo also drew from realistic, fantastic, psychological, travel, and adventure narratives, producing a rich synthesis of traditions.

REALISM AND INSIGHT

After Nievo, northern Italy saw a new literary movement grow during the

1860s–1880s. Called *scapigliati* (literally: disheveled), these young writers shifted their focus to the individual; they explored the belief that the human psyche is formed and influenced not only by social and visible forces, but by mysterious and even supernatural events. *Fosca* (1869, *Passion*), by Iginio Ugo Tarchetti, is perhaps the best example of this type of novel. In it, a young soldier is stationed in an isolated village where he encounters the invalid daughter of his captain. Initially repulsed by her ugly looks, he nevertheless falls under her spell, they have a distressing love affair, and he subsequently succumbs to remorse and anxiety.

In 1881, two novels were published—*I Malavoglia* (*The House by the Medlar-Tree*), by Giovanni Verga, and *Malombra*, by Antonio Fogazzaro—which captured the essence of the two major directions the Italian novel would take for the last decades of the century. *I Malavoglia* is considered the masterpiece of *verismo* (“verism”), with a remarkably dispassionate representation of the populace and their language. It renders a stark portrait of a family of fishermen who barely manage to subsist in the primitive and rigidly structured economy of their village, and was intended to be the start of a *ciclo dei vinti* (cycle of the losers), examining the human hunger for survival and progress. *Mastro-don Gesualdo* (1890), the second novel of Verga's projected cycle, tells the story of a self-made man who marries into an impoverished aristocratic family. Italian writers were beginning to embrace the potential of the novel to capture and shape the spirit of the times—an attitude that reveals a transition from considering literature as a product for the elite to a product for the masses.

While Verga examined the environment's influence on people, *Malombra* was a foray into the internal processes of the human mind and how it interprets its environment.

Set in a castle in northern Italy, the novel tells the tale of Marina, a young woman who becomes obsessed with the spirit of one of her ancestors. Marina's interpretation of reality is guided by an aesthetic, rather than a moral code, and her lover, Corrado, feels marginalized because of an unusually high sensitivity to his instincts and feelings—typical themes of *decadentismo* (see DECADENT). Fogazzaro continued to explore the formation and deformation of the human character in his later novels, but Italian *decadentismo* found its most accomplished voice in Gabriele D'Annunzio.

D'Annunzio published his first novel, *Il piacere* (*The Child of Pleasure*), in 1889. Andrea Sperelli, the protagonist, feels that life is an artistic creation of one's own making. He lives in an exquisite home, really a museum, and collects love affairs much as he collects beautiful objects. His passion is for juxtaposing a variety of aesthetic stimuli in order to observe the effects on himself and on others. *Il piacere* is a celebration of artistic genius and its right to supersede bourgeois rationalism; it is also highly autobiographical. D'Annunzio lived his life very much along the lines of the characters of his many novels, conducting numerous affairs (including a relationship with famous actress Eleonora Duse) and fighting as a combat pilot during WW I.

Twentieth-century Italian novels express the combined influences of *verismo* and *decadentismo*. The former bequeaths a sensitivity to the influence of environmental forces on the individual and an openness to heroes from a broad range of social classes, while *decadentismo* passes on an obsession with the plasticity of identity and the roles played in this by the individual's conscious affections and unconscious drives. Writers influenced by global scientific and artistic developments struggled to reconcile the desire to find a clear position in the world with the idea that the self is a reflexive construct

of the individual—not a fixed, objective entity. Their characters tend to be regular, middle-class figures, abandoning elitism and facilitating the democratization of the novel.

Luigi Pirandello is more celebrated for his work as a playwright, but *Il Fu Mattia Pascal* (1904, *The Late Mattia Pascal*) and *Uno, nessuno e centomila* (1926, *One, No one and One Hundred Thousand*) make clear that he was an impressive novelist as well. In *Mattia Pascal* a case of mistaken identity allows Mattia to literally re-create himself, but he eventually kills off his second self and returns home to end his years musing on his strange position as a man with both multiple identities and no identity. A sense of danger and uncertainty pervades Pirandello's novels (and many of his plays) as the protagonists struggle to keep utter nihilism at bay. Similarly, in the narrative of Federico Tozzi, the characters escape from a decaying world but remain trapped in their own fears, desires, and memories, blind to reality—as announced by the title of his most significant novel, *Con gli occhi chiusi* (1919, *With Closed Eyes*). The transition to modernity demands a price from its victims: a frightening discontinuity of thought and action, and of actions and results, that Tozzi conveys with stylistic expressionism and fragmented syntax.

Italian modernism reached its peak with Italo Svevo's *La coscienza di Zeno* (1923, *The Confessions of Zeno*). Zeno, the protagonist, ostensibly starts writing his journal as an assignment from his psychoanalyst (see PSYCHOANALYTIC). He wants a diagnosis for his ailments: he is a hypochondriac, addicted to cigarettes, to women, and to his malady, and he suspects that the new science of psychology might be able to provide him with answers. Zeno's queries into the root of desire portray a figure on the brink of a new era, and the final image in the novel is of an apocalyptic explosion.

FAMILY AND NOSTALGIA

A personal identity crisis was not the only vector of development for the Italian novel in the new century. Italy was facing its first real industrialization, and internal emigration from south to north and from the countryside to urban centers began to have a major impact on social conditions and culture. The most important movement that sprang up during this period was futurism, which celebrated speed, youth, the machine, violence, and progress, and saw the future as radically different from the past. Predominantly a visual movement, futurism inspired formal experiments in writing, mostly in the form of poetry. One futurist novel stands out for its new approach to existential questions: *Il codice di Perelà* (1911, *Man of Smoke*), by Aldo Palazzeschi. The protagonist, Perelà, a being composed of smoke, descends to earth into a society filled with unseen voices. His difference from the others is immediately apparent and he is both attractive and dangerous to them, observing their world and its flaws from an utterly alien perspective.

The disruption of family tradition proved a popular theme in the early 1900s, when more women started to move out of the private sphere of the home. Grazia Deledda was awarded the 1926 Nobel Prize for literature for her exploration of themes of repressed love within the tight familial structures of Sardinian patriarchal society. However, the most significant feminist book of the time was Sibilla Aleramo's *Una donna* (1906, *A Woman*). In this autobiographical novel she described her painful decision to abandon her despotic and unfaithful husband in order to pursue an autonomous life as a journalist and intellectual, despite the fact that according to Italian family law such action meant losing custody of her child.

Most Italian literature from the 1930s–1950s deals directly with contemporary history: the two world wars and the fascist interval, during which many writers faced censorship. This resulted in delayed publication for many novels, such as *Il garofano rosso* (1948, *Red Carnation*) by Elio Vittorini, or forced publication abroad, as in the case of *Fontamara* (1931) by Ignazio Silone (pseud. of Secondino Tranquilli). The war theme developed into literature of the resistance (like Vittorini's *Uomini e no*, 1945; *Men and Not Men*) and, more explicitly, Neorealism, which stressed that the war experience was not the expertise of intellectuals and artists, but of every Italian, and highlighted the particular environments of different cities and landscapes. Cesare Pavese was one of the most important writers of this period, though only one of his novels—*La casa in collina* (1949, *The House on the Hill*)—deals directly with the war. A translator of contemporary American literature, he inspired and encouraged many younger writers, including Italo Calvino. Pavese's descriptions of the countryside in *Paesi tuoi* (1941, *Your Villages*) are some of the most haunting and evocative in the whole of Italian literature, and his last novel, *La luna e i falò* (1950, *The Moon and the Bonfires*), examines the human need to return to one's origins—and the hopelessness of a perfect return. Vittorini's *Conversazione in Sicilia* (1942, *Conversations in Sicily*) is the story of the same type of quest: upon receiving a letter from his father, a young man travels from the north to his native Sicily. A first-person narrative with a poetic, almost lyrical style, the novel expresses the collective need to come to terms with the wisdom of an ancient past.

Three writers dominated the Italian literary scene in the second half of the 1900s: Alberto Moravia, Calvino, and Pier Paolo Pasolini. They embodied three different conceptions of fiction, different styles, and

also three opposing representations of Italian identity. Moravia had an incredibly productive writing career spanning seven decades. While still a teenager he wrote his debut novel and masterpiece, *Gli indifferenti* (1929, *The Time of Indifference*), in which a family's economic and moral collapse became an allegory of the discontent and degradation of the bourgeoisie. The plot is minimal: the action takes place over two days and the main event, an attempted murder with an unloaded gun, is an overt allusion to the disconnect between mind and reality.

For Moravia fiction was a means to investigate the role that money and sex play in our society, but for Calvino literature was not only a device but an end in itself. From his neorealist debut, *Il sentiero dei nidi di ragno* (1947, *The Path to the Spider's Nest*) the story of a young boy adopted by a band of partisans for a season in the mountains, Calvino manifests an extraordinary ability to capture his characters' moments of discovery. His sense of play and fancy, influenced perhaps by his work collecting folktales, matures in the trilogy *I nostri antenati* (*Our Ancestors*). In the first novel, *Il visconte dimezzato* (1952, *The Cloven Viscount*), a cannonball cleaves Calvino's hero into two opposing halves, the good and the bad. In the second, *Il barone rampante* (1957, *The Baron in the Trees*), he imagines an arboreal utopia, and in the third, *Il cavaliere inesistente* (1959, *The Nonexistent Knight*), he revisits Ludovico Ariosto's (1474–1533) sixteenth-century chivalric poem *Orlando furioso*, combining traditional characters with postmodern sensitivity. Experiments in form led him to *Il castello dei destini incrociati* (1973, *The Castle of Crossed Destinies*) and *Se una notte d'inverno un viaggiatore* (1979, *If On a Winter's Night a Traveler*), later works in which the structure of the novel becomes the true—and only—content.

A counterpoint to this postmodern and ironic detachment from the burden and responsibility of mimesis is Pier Paolo Pasolini. *Ragazzi di vita* (1955, *The Ragazzi*) and *Una vita violenta* (1959, *A Violent Life*) describe the underclass inhabitants and habitats of postwar Rome, one of the key topics of neorealist literature and film, as an act of resistance against homogenization and standardization (the “genocide of cultures”). Pasolini then turned to cinema but came back to the novel in the last years of his life. His untimely death prevented him from completing his most ambitious work, *Petrolio* (2005), but the chapters and notes that he left (ed. and pub. 1992) reveal an extraordinary attempt to create an “open” novel, perpetually in progress—and his conviction that only fiction could expose the pervasive and protean essence of neo-capitalism (see METAFICTION).

Moravia's introspection, Calvino's formalism, and Pasolini's corporality are fused in the writing of Carlo Emilio Gadda. His two masterpieces, *Quer pasticciaccio brutto de via Merulana* (1957, *That Awful Mess on via Merulana*) and *La cognizione del dolore* (1963, *Acquainted with Grief*), are founded on the principle that literature's primary scope is COGNITIVE. Only through language is it possible to interpret the world and comprehend its infinite complexity, hence Gadda's use of an emphatic, baroque style with continual variations of tone, including terms and structures from many different argots. Far from being a mere virtuoso of words, Gadda (who was trained and worked as an engineer) experimented with the limits of syntax and vocabulary, seeking a hidden order in the exuberant variety of nature.

Moravia died in 1990, five years after Calvino. The “long” generation that had broken out after WWII and included young authors (like Calvino) and already established ones (like Moravia) came abruptly to an end after half a century of hegemony. Suddenly there

was room for new voices. As in the 1940s, most of the debuts were by young authors, eager to win acclaim but also to express their values and desires. The great commercial success, both in Italy and abroad, of *Il nome della rosa* (1980, *The Name of the Rose*) by Umberto Eco contributed to the explosion of new writers in the 1990s. It announced the commodification of the Italian novel: a single book could bring celebrity and wealth almost overnight. In the same year, Pier Vittorio Tondelli quickly established himself as the torchbearer of this generation. His first novel, *Altri libertini* (1980, *Other Libertines*), depicted new dreams, problems, and emotions of the young in their own jargon, and its homosexual themes—and the charges of obscenity brought against the author—helped make it a cult book (see QUEER). Tondelli used his success to promote other young writers editing the three anthologies *Under 25*. In his best novel, *Camere separate* (1989, *Separate Rooms*), the themes of death, loss, friendship, and diversity ultimately affirm literature's redemptive power. Loss and its consequences also drive the novels of Elena Ferrante, the pseudonym of a writer about whom very little is known. Ferrante's novels center around women—in *I giorni dell'abbandono* (2002, *The Days of Abandonment*), the protagonist goes through a harrowing mental breakdown in her apartment after her husband leaves her. Ferrante's *L'amore molesto* (1992, *Troubling Love*) and *La figlia oscura* (2006, *The Lost Daughter*) focus on mother—daughter relationships and the process of uncovering troubled memories.

Still, the writer who contributed most to the final evolution of Italian fiction is a

coeval of Calvino and Pasolini, Andrea Camilleri. In 1994, aged almost 70, he published the first book about Commissario Montalbano, a police inspector in Vigàta, an imaginary Sicilian town. *La forma dell'acqua* (1994, *The Shape of Water*) was a national sensation, despite the fact that the text celebrates an extremely local culture, is laced with Sicilian dialect (incomprehensible to most Italians), and avoids graphic violence or sex. Camilleri's popularity continued to grow in the following years, book after book (almost twenty mysteries in the Montalbano series and at least as many historical novels), making him the bestselling Italian writer of all time and demonstrating that Italy could finally claim a “national-popular” literature—one that implies, as Antonio Gramsci (1891–1937) noted in the 1930s, that writers and people share the same conception of the world.

SEE ALSO: National Literature, Naturalism, Regional Novel, Surrealism/Avant Garde Novel.

BIBLIOGRAPHY

- Benedetti, C. (1998), *Pasolini contro Calvino*.
 Enrico T. (1997), *Stile semplice*.
 Gillian, A. and A.H. Caesar, eds. (2007), *Trends in Contemporary Italian Narrative 1980–2007*.
 Palumbo, M. (2007), *Romanzo italiano da Foscato a Svevo*.
 Rosa, G. (2008), *Patto narrativo*.
 Spinazzola, V. (2007), *Egemonia del romanzo*.
 Tellini, G. (1998), *Romanzo italiano dell'Ottocento e Novecento*.

J

Jameson, Fredric *see* Ideology; Lukács, Georg; Marxist Theory

Japan

JONATHAN E. ZWICKER

Early in 1942, Nakajima Atsushi (1909–42), then teaching Japanese at an elementary school in the occupied territory of Palao, published a short story set in ancient Assyria (669–633 BCE): “Mojika” (“The Curse of Letters”), centers on a scholar who comes to discover the accursed nature of writing. “As he stared at length at a single letter,” Nakajima writes, “that letter would, without his noticing, dissolve and he could only see it as a tangle of individual lines with no meaning. And he could no longer understand how a simple grouping of lines had come to have a particular sound and a particular meaning” (123). And this is essentially how it is with the Japanese novel: the more one looks at it, the less sense it seems to make and the more artificial it seems, based purely on convention.

THE PROBLEM OF THE JAPANESE NOVEL

To understand the problem posed in writing the history of the Japanese novel, consider the following anecdote. In 1968, Kawabata Yasunari became the first Japanese writer to be awarded the Nobel Prize for literature, and toward the end of his Nobel lecture he

briefly remarked upon *Genji Monogatari* (early eleventh century CE, *The Tale of Genji*), describing it as “kokin wo tsūjite Nihon no saikō no shōsetsu” (the pinnacle of the Japanese novel past and present). Kawabata continued: “gendai ni mo kore in oyobu shōsetsu wa mada nakute. Jūseiki ni, kono yō ni kindaiteki demo aru chōhen shōsetsu ga kakareta no wa, sekai no kiseki toshite, kaigai ni mo hiroku shirarete imasu” (1968b). [No Japanese novel has ever equaled it. That such a modern novel was written in the tenth century is thought to be a miracle even abroad] (my translation). But the official English TRANSLATION of Kawabata’s speech reads rather differently, and the word “novel” does not appear in the text of the lecture. Rather, the English version describes *Genji* as “the highest pinnacle of Japanese literature” and continues: “even down to our day there has not been a piece of *fiction* to compare with it. That such a modern *work* should have been written in the eleventh century is a miracle and as a miracle the work is widely known abroad” (1968a, my emphasis).

The discrepancies between the Japanese and the English texts are minor, but they are also suggestive of a problem central to the history of the Japanese novel: do we treat the *Genji* as a “novel,” and thus begin the history of the Japanese novel in the eleventh century? Or is the *Genji* something else entirely? And if the *Genji* is a novel, then does that imply that the history of the novel as such also begins in Japan—and not in Europe?

And how do we account for the fact that Japan seems to have produced a fully formed modern novel eight centuries before anything similar was accomplished anywhere else in the world? Or that nothing really like the *Genji* would be produced again in Japan for the better part of a millennium?

The translation of Kawabata's lecture stands as a reminder of how complex and how contentious these issues are. So where do we begin? What counts as a novel and who decides (see DEFINITIONS)? To anyone interested in the HISTORY of the novel the case of Japan presents both a problem and an opportunity. The problem is one of beginnings. Do we start the history of "the novel" in Japan with the *Genji*, often described as the world's oldest novel? Or do we start at the end of the nineteenth century, when the concept "novel" was first translated into Japanese and a long and tendentious process began in which Japanese literary history would come to be understood through the lens of a normative conception of Western European literature? The answers to these questions have implications not just for the history of the Japanese novel but for the history of the novel as a GENRE. And in this sense, the question of beginnings also presents the student of the novel with an opportunity to take seriously the problem of origins: to think again about the now too comfortable narratives of the emergence of the novel in Spain and England in the seventeenth and eighteenth centuries, about the relationships posited between the novel and the EPIC or the ROMANCE, between the novel and a particular form of capitalism, or between the novel and print (see TYPOGRAPHY).

Though the composition of the *Genji* is of uncertain date, 2008 was decided upon as its millennial anniversary and the anniversary occasioned both a great deal of ceremony and some thoughts on the long arc of the

history of the Japanese novel and its future. Indeed, many commentators have noted the unlikely trajectory that the novel has taken in Japan, from the *Genji* to the newest narrative form, the cell-phone novel, now an established literary genre accompanied by literary prizes and works of literary criticism.

But for anyone interested in the history of the novel all of this raises a question: can the idea of the novel provide a way of thinking about texts ranging from the *Genji* to post-modern novels read on a cell phone? Or, asked differently, is a concept which *can* comprehend such a diverse range of objects still a useful concept? Can an object so broad and so ill defined, encompassing the classical courtly tale, the avant-garde, and the commercial, an object written by brushes on scrolls, printed on pages by block or by type, or emitted by electronic signals—can such an object be said to have any existence at all?

Like Nakajima's Assyrian scholar, we have come to the point where that seemingly simple object, the Japanese novel, has dissolved before our eyes, and we can no longer see it as anything more than a grouping of objects, artificial but—like Nakajima's accursed letters—no less powerful for that fact. And Nakajima's story raises another important problem facing anyone interested in writing the history of the Japanese novel. So far we have focused exclusively on the second term in "Japanese novel." But the Japanese novel is a problem in another way as well: what are the outer limits of "Japanese"? Nakajima's own works were largely written during his time in the colonial bureaucracy in the South Seas. During the first half of the twentieth century, Japan was a large empire and novels were written—and published—in its territories, both by Japanese writers and by colonial subjects. The Korean novelist Yi Gwangsu, one of the most important writers of the

modern Korean canon, wrote his first story in Japanese while a student in Japan, and the critic Kim Yunshik has suggested that the modern Korean novel really begins *in Japanese*. Thus Yi Gwangsu's "Ai ka" can be thought of as part of the history of modern Korean literature, but it has also been taken as the first work in the literary history of Japan's minority of resident Koreans and, simultaneously, as one of the early works of colonial "Japanese language literature": works written in Japanese by subjects of the Japanese Empire (Kurosawa).

Many of Japan's postwar writers were born or grew up in colonies like Korea and Manchuria and would maintain a problematic relationship to an uncomplicated idea of Japan. Abe Kōbō spent most of his early life in Manchuria, and his first novel, *Kemonotachi wa kokyō mezasu* (1957, *The Beasts Head for Home*), is an explicit meditation on how strange the idea of Japan as a "home" would be for the returnees of the decolonizing Empire. In the first half of the twentieth century, and in some cases still today, Japanese-language literatures existed in emigrant communities in North and South America, especially Brazil.

Which of these works belong to the history of the Japanese novel? And can the same work belong to the history of the Japanese novel and the Korean novel? Or to the history of the Japanese novel and the Asian American novel or, indeed, the Brazilian novel? Or can we replace the idea of the "Japanese novel" with the "Japanese-language novel," as some critics have suggested in an echo of the emergence of Anglophone and Francophone literary histories, and will this solve all of the problems or simply mask them?

The "Japanese novel" is a messy category, but in certain respects it is a more productive category the messier it is. If we try to bring the object of our inquiry too clearly

into focus we will lose something by treating the category as natural, even inevitable. Like all concepts, the category of the "the Japanese novel" is useful to the extent that it illuminates certain problems, either historical or theoretical, and we should be wary of becoming too comfortable with it. "Its task," to borrow from Wittgenstein, "is to portray a colorful, blurred reality as a pen-and-ink drawing. . . . To believe that therefore [it is] useless or in any case doesn't match up to [its] purpose is like saying 'The light of my lamp is useless because one doesn't know where it begins and where it ends'" (56).

THE JAPANESE NOVEL IN THE AGE OF WORLD LITERATURE

The (mis)translation of Kawabata Yasunari's Nobel lecture also brings to the fore the fact that the history of "the Japanese novel" is always also a history of translation, that at one level the whole idea of a "Japanese novel" only becomes thinkable with the translation of Western generic and literary terms in the late nineteenth century, premised on a "hypothetical equivalence" between genres that developed independently of each other until that very moment in the nineteenth century when a world literature seemed possible, even desirable. Thus in the late nineteenth century, the decades following the Meiji Restoration in 1868, the importation and translation of Western works of literature assumes a place of particular importance in thinking about the history of the Japanese novel, for during these decades two rather important changes occurred. First, European and American novels began to influence the development of the novel as a form in Japan (see INTERTEXTUALITY). But just as significantly, Western conceptions of literary history began to shape how Japanese literary history was understood and continue to this

day to govern the historiography of the Japanese novel.

At the end of the nineteenth century, at the moment when Western novels were first being translated into Japanese and Japanese works into European languages, the idea of “the Japanese novel” seemed anything but a problem. That problem would come later, in the wake of MODERNISM. In the age of “world literature,” those decades following the first uses of this term in German (Johann Wolfgang von Goethe in 1827 and Karl Marx and Friedrich Engels in 1848), nothing seemed more natural than to discover among Japanese writers a native Charles Dickens or Walter Scott. History was being written from the perspective of normative Western examples, and literary history would be no different. When the work of Kyokutei Bakin, one of the most productive and popular writers in nineteenth-century Japan, first appeared in English in 1885, it was widely and enthusiastically reviewed and the reviewers had no doubt that what they were reviewing was a novel (“Japanese Novel,” 1885, *New York Times*, 9 Dec.).

To an American reviewer at the end of the nineteenth century, Bakin’s work was quite clearly a novel and just as clearly an example of a mode of REALISM. Over the course of the century that followed, both of these things would become increasingly less clear for Japanese readers and for literary historians interested in the history of the novel. Whereas Bakin once seemed to exemplify “the Japanese novel” to his earliest American readers, his place within the history of the novel is now complex and contentious: can we consider works written before Western conceptions of the novel arrived in Japan as “novels” in any meaningful sense? Is there not an important break between a genealogy of “indigenous” fiction that runs through the middle of the nineteenth century and “the

modern novel” that has been shaped by Western works of fiction and literary criticism? The effect that these questions have had—of essentially writing figures like Bakin out of the history of the novel in Japan—suggests how a certain set of disciplinary assumptions have shaped the way that Japanese literary history has been crafted, both in Japan and abroad, by a historiographical tradition wedded not only to particular formations of the canon or to particular narratives of periodisation, which artificially structure the shape of the very histories of which they are meant to be a part, but also to ossified understandings of generic or critical concepts which account only in a trivial way for how these concepts were actually used in the past.

In the late nineteenth century, the idea of an “essence” of the novel that could encompass both the European and Chinese traditions—and that could provide a framework for an even more wide-ranging discussion of narrative spanning the *Genji* through the *Iliad*, as did Tsubouchi Shōyō in *Shōsetsu shinzui* (1885–86, *The Essence of the Novel*)—seemed entirely plausible. In the century that followed, this idea would become increasingly problematic, as what was understood to define the nature of the novel changed in response to the narrative experiments of the early decades of the twentieth century, experiments that seemed to stand traditional narrative strictures on their head.

The reception of the *Genji* in the West is a good example. When a partial translation appeared in the late nineteenth century, it seemed essentially incomprehensible to Western readers: “curious rather than interesting,” it was “if not precisely impossible, then difficult to appreciate” (1898, “Japanese Romance,” *New York Times*, 16 Apr.). Four decades on, however, the *Genji* was no longer so difficult to appreciate. In a 1938 review Jorge Luis Borges would describe the work

as “what one would quite precisely call a psychological novel” (187), arguing that such a novel would have been unthinkable in Europe before the nineteenth century. It was only with Arthur Waley’s six-volume translation (1925–33) that a framework would be found for comprehending the *Genji* not as a historical curiosity but as a peculiar form of the modern novel *avant le lettre* and as a masterpiece of world literature.

For readers of Waley’s translation, the *Genji* seemed to represent an uncanny anticipation of the narrative experiments of the late nineteenth and early twentieth centuries: an attention to style over plot and character, an attention to PSYCHOLOGY over action and suspense. As a review of the second volume of Waley’s translation in 1926 put it, “Curiously enough, for the modern reader Murasaki’s style carries with it a suggestion . . . of that of Mrs. Virginia Woolf” (“Tale of *Genji*”). Woolf had just published *Mrs. Dalloway* (1925), and while that novel won critical acclaim, it is not difficult to imagine a contemporary reader finding the book similarly “if not precisely impossible, then difficult to appreciate.” Modernism had essentially changed the way in which the nature of what was considered novelistic was understood and so provided a way for the *Genji* to be reevaluated: it was no longer a historical curiosity but a most uncanny example of the modern novel.

Woolf herself wrote a review of the first volume of Waley’s translation in which she made a similar point. Woolf saw in the *Genji* a narrative form which seemed very much at odds with the history of the novel as it developed in Europe between the beginning of the seventeenth and the end of the nineteenth centuries. For Woolf, the history of the novel in the West until her own time was primarily a history of storytelling; viewed within that framework—compared with

Miguel de Cervantes Saavedra’s *Don Quixote* (1605, 1615) or with Leo Tolstoy’s *Voyná i mir* (1865–69, *War and Peace*)—the *Genji* is a very strange kind of “novel” (1986, 142). What the *Genji* offers is something rather different, which Woolf hints at when she conjures for her readers the *Genji*’s original audience: “They were grown-up people, who needed no feats of strength to rivet their attention, no catastrophe to surprise them” (1986, 167). There is an unmistakable echo here of Woolf’s famous appraisal, written that same year, of George Eliot’s *Middlemarch* (1871–72), which she described as “one of the few English novels written for grown-up people” (*ibid.*, 165). With this echo we can see how, as was the case with George Eliot, modernism provided an interpretive lens through which the narrative ambitions of the *Genji* could be understood; modernism, in other words, allowed the elevation of the *Genji* from a historical “curiosity” to an important work of literature. The novel was no longer seen primarily as a vehicle for storytelling, which relied on feats of strength and catastrophes—broadly “the melodramatic imagination”—rather, the novel was now a “serious” genre, a genre for “grown-ups” (Moretti).

The modernist appreciation of the *Genji* as a kind of fully formed modern novel had profound implications for the ways in which Japanese writers came to understand the genre of the novel and its possibilities. Such a modernism would profoundly shape both the production of novels in twentieth-century Japan and the construction of a literary history which came to see narratives of action and suspense as something other than fully formed novels. And just as to late nineteenth-century Western readers the works of Bakin seemed quite naturally “novels” while the *Genji* appeared to be essentially incomprehensible, so too for readers from

the middle decades of the twentieth century on would the *Genji* seem quite improbably a “modern novel” written in the eleventh century while Bakin’s work, so typical of the melodramatic mode, would seem peculiarly non-modern, an example of an indigenous form of romance rather than part of the history of the novel (see MELODRAMA).

And just as European modernism was discovering in the *Genji* an uncanny avatar of a mode of prose that forgoes storytelling, Japanese writers were discovering modernist experiments with eliminating narrative and rethinking the very grounds of novelistic aesthetics. When Kawabata described the *Genji* as a “modern novel” in his Nobel lecture, he was remarking upon the ways in which this work seemed to anticipate the move away from storytelling that would become one of the hallmarks of modernism. But Kawabata was also using the *Genji* itself as a way of defining what is “modern” about the novel: precisely its resistance to what Woolf called “feats of strength,” the *Genji*’s seriousness, its grown-upness.

Kawabata’s own career must be understood within this broad history through which the novel became identified—from the 1920s on—with an anti-narrative tendency. Indeed, Kawabata began his career in 1925, the year that the first volume of Waley’s *Genji* appeared and one of Kawabata’s earliest endeavors as a writer was to work on the script for the avant-garde film *Kurutta ichipeiji* (dir. Kinugasa Teinosuke, 1926, *A Page of Madness*), a film that “completely rejected the established modes of narrative in Japanese film and attempted to establish a new filmic expression” (Satō, 267). Just as the pure film movement was rejecting narrative as a sort of literary remnant in favor of pure visual expression, writers too were attempting to grasp what a novel without narrative would mean.

In 1927, the novelist Tanizaki Jun’ichrō even felt compelled to write an apology for plot. “I think that in general,” Tanizaki wrote, “it is perhaps felt that there is no artistic value in how interesting a plot is.” But plot, Tanizaki argued, was “the great privilege that the novel has as a form” and had its own value, “the interest of structure” (1981, 76). Tanizaki’s essay was quickly answered by Akutagawa Ryūnosuke, who wrote that while he did not feel that a “novel without a story-like story is the highest form of the novel,” there should never the less remain a place for this kind of work which eliminated “popular appeal,” by which he meant “an interest in events” (1997, 149). Akutagawa had in mind something like a modernist painting which eliminated design—he mentions Paul Cézanne (1839–1906)—but the novels of Woolf or James Joyce, whose major works would remain untranslated until after WWII, would have served just as well.

The debate over the relationship between the novel and plot did not begin in 1927; the question of plot loomed large for writers of an earlier generation who had begun to intuit the problems that narrative would face during the twentieth century. Two decades earlier, Akutagawa’s mentor Natsume Sōseki had written a brilliant dialogue in his novel *Kusamakura* (1906, *The Three Cornered World*) on just this subject:

“What’s wrong with reading a novel from the beginning?”

“Because if you start reading from the beginning, you have to read to the end.”

“That seems a peculiar reason. What’s wrong with reading to the end?”

“Nothing at all, naturally. I do it myself when I want to read the story.”

“But if you don’t read the story, what else is left?” (122–23)

In the novel, this final question goes unanswered, and it would continue to haunt the history of the Japanese novel across the twentieth century.

SŌSEKI'S CENTURY

Natsume Sōseki's own work, especially the late novels *Kokoro* (1914) and the unfinished *Mei An* (1916, *Light and Darkness*), can be seen as an attempt to explore a possible answer to the question of what a novel not dependent on plot might look like, and these narrative experiments have given Sōseki a special place within the history of the modern Japanese novel. In 1993, a year before he became, after Kawabata, the second Japanese novelist to win the Nobel Prize (in 1994), Ōe Kenzaburō described Sōseki as “revolutionary” and remarked, “It is no exaggeration to say that Sōseki and Sōseki alone represents twentieth-century Japanese literature” (1995, 319). Sōseki, Ōe suggested, had understood a set of problems with which Japanese writers would grapple for the better part of a century: “Even today many Japanese are unable to resolve those very problems Sōseki foresaw” (320).

A century after his death, it is sometimes difficult to see how revolutionary Sōseki's writing was in the opening decades of the twentieth century and why he came to occupy such an important place in the history of the novel in Japan. Like his contemporary Franz Kafka, there is an odd disjuncture between the formal, even bureaucratic, man and the experimental nature of his prose. But while Kafka's literary persona has completely eclipsed his image as an insurance lawyer, almost the opposite has happened to Sōseki.

Yet there is an uncanny connection between Sōseki and Kafka, two writers who lived half a world away from each other and

who could not have known of the other's existence. In 1914, each would write a novel with a central character known as “K,” and each novel, Sōseki's *Kokoro* and Kafka's *Der Prozeß* (*The Trial*), would explore the themes of modern man's alienation from the world through recourse to a narrative mode that expressly rejected conventional realism in favor of a kind of figurality. That both Sōseki and Kafka should have chosen the letter “K,” is a sort of fantastic coincidence, but it is a coincidence that reveals a shared rejection of the inherited conventions of mimesis and the representational limits those conventions imposed. Just as the names of Kafka's characters in *Der Prozeß* are evocations of their archetypality, so too proper names are almost entirely eliminated from Sōseki's *Kokoro* in favor of figural sobriquets which denote the character's function: Sensei, the teacher; Okusan, the wife; Ojosan, the young woman.

At a time when Japanese literary output was dominated by an attention to minute description as the hallmark of realism and literary modernity, Sōseki embraced an entirely different aesthetic which rejected description in favor of what he once described as the simple and the naïve. Yet even as Sōseki's work became increasingly defined by a move toward simplicity at the level of description—*Kokoro* is marked by an almost total lack of description—the structure of Sōseki's work evolved a remarkable complexity that stands in contrast to the modes of NATURALISM that dominated the Japanese novel in the first decade of the twentieth century. *Kokoro* is composed of two overlapping narratives—each of which is itself quite simple—arranged into a structure in which both stories move at different rates (because they cover different lengths of time) toward a shared moment at the end of the novel in which the narrator of the first half is reading a letter

composed by the narrator of the second half, just as the temporal sequences of the novel merge at a shared moment of the Meiji Emperor's death. The first half of the novel ends with a kind of tableau, with the "I" of the first half (the young narrator) reading the personal confession of the "I" of the second half (the character known only as "Sensei," the mentor), and the entire second half of the novel transpires at a moment anterior to the final scene of the first half.

Toward the end of *Kokoro*, there is a remarkable scene in which K confesses to Sensei: "I can't decide whether to take a step forward or to turn back," to which Sensei responds with a question: "Tell me, can you really turn back if you want to?" (213). This question reverberates throughout the novel and continued to haunt Japanese novelists across the twentieth century—it is in a sense what Ōe was referring to. In the tableau that ends the first half of *Kokoro*, the narrator has boarded a train back to Tokyo in a vain attempt to see Sensei once more before his mentor's suicide, leaving behind his own dying father in the countryside. The narrator is in a state of suspense and yet he is also being carried forward once more, away from home and towards the city. The deliberately open ending of Sōseki's novel suggests an open future, an ending yet to be written and entrusted to authors of the next generation. And yet it seems as if the terms within which Sōseki imagined this future helped structure the very way in which it would be imagined, even experienced. In one of his last, autobiographical works, Sōseki's closest student, Akutagawa Ryūnosuke, recalls Sōseki's own death in terms that eerily parallel *Kokoro*: "In the wind after the rain, he walked down the platform of the new station. . . . 'Master near death,' read the telegram he had thrust into his coat pocket. Just then the 6:00 a.m.

Tokyo-bound train began to snake its way toward the station, rounding a pine-covered hill in the distance and trailing a wisp of smoke" (1997, 192).

Different writers and different generations of writers would frame, and attempt to answer, Sōseki's question differently. Some would see this as primarily a question of turning back to the past understood as tradition; others, the writers of the postwar period in particular, would understand the question of orientation differently. When an outright return to tradition seemed finally impossible, the question became rather one of political engagement, a push outward as an embrace of political commitment versus an inward turn that spurned engagement with the real world. All of these writers—ranging from Sōseki to Tanizaki Junichirō, from Kawabata Yasunari to Dazai Osamu, and forward to Ōe Kenzaburō, Mishima Yukio, and Murakami Haruki—shared a concern for where the nation seemed to be heading, how fast, and whether there was any hope of changing course. That attempts to answer these questions have so often been framed in terms of actual movement suggests how powerful this governing metaphor of movement had become within the modern Japanese canon.

Viewed as part of this genealogy, Tanizaki Junichirō's *Chijin no ai* (*Naomi*), written a decade after *Kokoro* in 1924, can be read almost as a kind of perverse sequel to Sōseki's novel. Whereas the narrative space of *Kokoro* is divided almost equally between the city and the country (with the narrator finally suspended between the two poles), *Chijin no ai* is a novel entirely of the city. Over the course of the novel, Jōji gradually sells off his family's property in the country to support a life of consumption without production. Indeed, as the consumptive appetites of Jōji and especially of Naomi grow over the course of the novel, Jōji does

progressively *less* work and he relies more and more on the disposal of property to support their life in the metropolis. Whereas Sōseki's young narrator has yet to make his final choice (though his direction back toward the city is clear), Jōji enacts a final break with the past: at the end of the novel, his inheritance has been completely sold off and transformed into capital. It is almost as if the city is swallowing up the countryside, and this is heightened by the descriptions of space and distance in the novel: the city is expanding even as distances are shrinking due to the speed of the train and the automobile. "Just because I come every night," Naomi says at one point, "doesn't mean I live in the neighborhood. There are such things as trains and cars" (214). The metropolis, gradually growing outward along the railroad line, plots the spatial development of the novel, consuming the countryside and turning the once rural into the suburban landscapes that would play such an important role in the iconography of late 1920s and 1930s cinema. What we have here is no longer the country as something outside of and beyond the city, but an extension connected by the ever-present railroad.

But if *Chijin no ai* seemed an effort to settle Sōseki's question—no, we cannot go back, we have sold off our patrimony in favor of a life of modern consumption—the late 1920s and 1930s would see this question resurface in a number of ways. Tanizaki himself began to advocate a return to tradition, an impulse that would be given its most enduring voice in Hagiwara Sakutarō's essay "Nihon he no kaiki" ("Return to Japan"), published in 1938. And two of the most important cultural works of the 1930s, Kobayashi Hideo's "Kokyō wo ushinatta bungaku" (1933, "Literature of the Lost Home") and Kawabata Yasunari's *Yukiguni* (1937, *Snow Country*), would each open with the image of a train emerging

from a tunnel, though the trains were headed in opposite directions, with very different implications. Kobayashi's essay is an embrace of the present and a skeptical rejection of any call to return, while Kawabata's novel is a complex meditation on the themes of return in a world void of authenticity.

As the train pulls through the tunnel at the opening of *Yukiguni*, Shimamura sees the world around him as if reflected in a mirror (7). This sense of inversion governs the novel, and in many ways *Yukiguni* is a sort of inverted mirror image of *Naomi*: whereas Tanizaki's novel is set entirely in the city and the country remains abstract, here the opposite is true, with the narrative taking place in the provinces and Tokyo remaining a spectral presence. But just as the country continues to play an important structural role in *Naomi*, the city plays a similar role in *Yukiguni*: it is the space to which Shimamura retreats when he can no longer maintain control over the world of fantasy that he projects onto the Snow Country of the title. Twice Shimamura returns to Tokyo, but only following a drunken outburst by his lover Komako, as if this intoxicated intrusion of the real forces him to confront his inability to become master of this aestheticized space. *Yukiguni* may be an attempt to answer the question "can we go back if we want to?" but its answer is ambivalent. Return is always precarious, predicated on a kind of crude suspension, or suppression, of reality.

Both *Chijin no ai* and *Yukiguni* can be read as variations on the iconic ending of Sōseki's novel, the former following the train forward along its vector to Tokyo, the latter a sort of "return" to the countryside. However, the countryside here is no longer that of doting mothers and dying fathers, but one of nostalgic return in which even the markers of labor and bondage become

aestheticized as icons of the authentic. *Chijin no ai* and *Yukiguni* represented two possible visions of a resolution to *Kokoro's* suspended ending, and both of these possibilities were explored at length, and in various guises, between the Meiji period and the end of WWII.

After the war, the terms would change but many of the questions would remain the same. Indeed, Dazai Osamu's *Shayō* (1947, *The Setting Sun*), is an extended meditation on the question of what the idea of a home might mean in the aftermath of war, and whether any sort of return might be possible or desirable. One of the most striking features of *Shayō* is that the very terms of city and country, modernity and tradition, have been inverted. At the opening of the novel, when the petty aristocratic family of Kazuko and Naoji is forced to leave Tokyo following the war, they are leaving their "home" for "somewhere in the country" (17). But this "somewhere" is not a place of nurturing or of tradition or of some sense of authentic Japanese identity but a strangely exotic "Chinese-style house" (16). Indeed, in the novel, the country becomes a place of artifice and decay, with the dislocated family "playing house" (35).

In *Shayō*, there is no longer an authentic past to which to return, and rather than return, the novel turns instead, as so many other works of postwar fiction would, to the theme of rebirth. The child that Kazuko conceives at the end of the novel—the illegitimate child born out of a carnal desire almost devoid of sentiment—is suggestive of what Dazai could imagine as the only way forward during "a transitional period of morality" (173): rebirth through being brought low, the overturning of hierarchies, and the discarding of the sense of CLASS that had continued to mark modern Japan. The child in Kazuko's womb at the end of *Shayō* prefigures one of the great themes of

postwar Japanese culture: the promise of rebirth and regeneration, with the cry of a newborn very much marking the soundscape of the postwar.

Birth and rebirth became dominant themes in the work of the two writers who defined the history of the Japanese novel in the 1960s and 1970s: Ōe Kenzaburō and Mishima Yukio. Ōe's 1964 novel *Kojintekina taiken* (*A Personal Matter*) is itself an extended meditation on the question of personal responsibility centered on the birth of a child. Over the course of the novel, the protagonist, Bird, struggles over reconciling his sense of responsibility toward his wife and child and his dream of traveling to Africa, finally choosing practical commitment over utopian visions. When Bird returns to his wife and child in the hospital, he remarks: "I kept trying to run away. And I almost did. But it seems that reality compels you to live in the real world" (1969, 164). In the emblematic gesture with which the novel ends, Bird crosses out the word "hope" and replaces it with "forbearance." The novel ends with an embrace of living in the real world and of forbearance over hope; or, perhaps more accurately, Ōe suggests the possibility of forbearance as a kind of hope, a hope marked not by daydreams and utopian visions but by engagement and hard work, whether in the realm of the personal or the political.

Mishima Yukio's final cycle of novels, suggestively titled "Hōjō no umi" ("The Sea of Fertility"), press in a direction opposite to Ōe's *Kojintekina taiken*. Mishima's novels explore the themes of birth and rebirth, sterility and fertility; as the cycle progresses, from *Haru no Yuki* (*Spring Snow*) in 1965 to *Tennin gosui* (*The Decay of the Angel*) in 1970, it becomes increasingly clear that for Mishima forbearance leads nowhere; that, indeed, the entire history of modern Japan can be rendered as a kind of grand passion

play of the struggle to act in the face of the overwhelming pull of inaction. In one of the iconic scenes of the third novel of the cycle, *Akatsuki no tera* (1970, *The Temple of Dawn*), the lawyer Honda, entombed in books, is watched by his barren wife, as he himself watches the two women he most desires engaged in an act of sexual indulgence completely freed from any specter of utility: passion and sexuality liberated from procreation (chap. 44). In Mishima's cycle, modern Japan becomes the victim of a sterile rationality, and it is in "Asia"—an Asia of fantasy represented by Thailand and India, and above all by Theravada Buddhism—that Honda sees glimpses of freedom: the non-rational, the erotic, the sensual, and openly sexual. If Ōe had offered an idea of hope renewed through forbearance and a commitment to the real, in Mishima's late novels this idea seems to be parodied as but another capitulation to barren reason. Action is displaced by viewing, passion by reason, as if to say, here is what happens when we cast our lot with forbearance over hope—we can only watch as others act. Mishima's own life would come to end in a single almost mad attempt to act, though Mishima's own action was almost emblematically sterile. His suicide in 1970 did not provoke an uprising or a revolution but was an empty spectacle which played out for the vicarious viewers the seductions of passion and unreason.

Both Ōe and Mishima are deeply political writers, and the work of each can be read as an attempt both to diagnose what had gone wrong in the postwar decades and to offer a way forward. For Ōe this was a broad commitment to a liberal humanist vision over and against calls for revolution. For Mishima, Ōe's stance seemed but another iteration of the failure to act that had haunted modern Japan. In the 1980s, this political and politicized moment of

the late 1960s and 1970s would itself become a novelistic subject in the work of Murakami Haruki. Indeed, for Murakami, both the left and the right seem equally guilty of turning action into spectacle. In *Noruvei no mori* (1987, *Norwegian Wood*), politics smells "fishy" (12) and revolutionaries are "total phonies" (179). But if *Noruvei no mori* seeks to be apolitical, or post-political, it is still deeply indebted to the themes that have informed, at times seemingly governed, the Japanese novel for much of the twentieth century. Indeed, it is hard not to read the opening of *Noruvei no mori*—the narrator "strapped in [his] seat" as his airplane touches down in Hamburg—as but another iteration of Sōseki's narrator suspended between the future and the past, the home and the world, the promise of the future ahead of him but haunted by memories of the past. What is meant by "home" and what is meant by "the world" have shifted, but *Noruvei no mori* is, no less than *Kokoro*, an exploration of the possibility of return.

In the decades that have followed the emergence of the "Murakami phenomenon," the Japanese novel has seemed perpetually at a crossroads, not unlike Sōseki's narrator, unsure how to proceed. When Ōe Kenzaburō received the Nobel Prize for literature in 1994, he suggested that the novel as a form had perhaps reached its limits. The global success of Murakami once seemed to provide the model of a possible future in a new age of world literature, but the path eluded those, like Banana Yoshimoto, who seemed poised to follow. At the same time, critics have emerged, like Kawaniishi Masaaki, writing elegiacally of "the end of the novel," but new forms like the cell-phone novel and the GRAPHIC novel have once again brought to the fore the difficulty, even impossibility, of defining and delimiting the genre.

When Kawabata Yasunari spoke of the *Genji* as a novel during his Nobel acceptance speech, he was suggesting a conception of the novel as a genre not bound to a particular material form. And when we come to reflect upon the novel and its electronic future we would do well to remember the fact that the form has undergone equally profound changes in the past, as Kawabata himself suggests in a scene from *Utsukushisa to kanashimi to* (1965, *Beauty and Sadness*) in which his narrator reflects on the different forms the *Genji* has assumed over the centuries: “[H]e had always read *The Tale of Genji* in the small type of modern editions, but when he came across it in a handsome old block-printed edition it made an entirely different impression on him. What would it have been like when they read it in those beautiful flowing manuscripts of the age of the Heian Court?” (34). The remarkable growth of the electronic book industry in Japan and the equally remarkable success of the cell-phone novel as a form suggest that the history of the novel in Japan is likely not at its end but at a new beginning. That this new beginning will be born of a materiality very different from the printed books that have shaped the history of the modern novel in Japan perhaps ought not give us too much pause. Indeed, if “the Japanese novel” is to be a useful category for rethinking literary history, perhaps its greatest value is as a way of linking together very different texts stretching across a millennium of history from scroll to screen.

BIBLIOGRAPHY

- Akutagawa, R. (1997), “Bungeitekina, amari ni bungeitekina,” in *Akutagawa Ryūnosuke Zenshū*.
 Akutagawa, R. (2006), “The Life of a Stupid Man,” in *Rashōmon and Seventeen Other Stories*, ed. J. Rubin.
- Borges, J. L. (1999), *Selected Nonfictions*, trans. E. Weinberger.
 Karatani, K. (1993), *Origins of Modern Japanese Literature*, trans. B. de Bary.
 Kawabata, Y. (1968a), *Japan the Beautiful and Myself*, trans. E.G. Seidensticker.
 Kawabata, Y. (1968b), *Utsukushii Nihon No Watashi*.
 Kawabata, Y. (1996), *Beauty and Sadness*, trans. H.S. Hibbett.
 Kawabata, Y. (1996), *Snow Country*, trans. E.G. Seidensticker.
 Kim, Y.S. (1999), *Yi Gwangsu oa ku ui sidae*, vol. 1.
 Kurosawa, S. (1996), “*Gaichi*” no *Nihongo bungaku*, vol. 3.
 Mishima, Y. (1990), *Temple of Dawn*, trans. E.D. Saunders and C.S. Siegle.
 Moretti, F. (2006), “Serious Century,” in *The Novel*, vol. 1, ed. F. Moretti.
 Murakami, H. (2000), *Norwegian Wood*, trans. J. Rubin.
 Nakajima, A. (1987), “Mojika,” in *Sangetsuki, Riryō*.
 Natsume, S. (1957), *Kokoro*, trans. E. McClellan.
 Natsume, S. (1965), *Three-Cornered World*, trans. A. Turney.
 Ōe, K. (1969), *Personal Matter*, trans. J. Nathan.
 Ōe, K. (1995), “Japan the Dubious and Myself,” in *Japan in Traditional and Postmodern Perspectives*, ed. C. Wei-hsun Fu and S. Heine.
 Onishi, N. (2008), “Thumbs Race as Japan’s Best Sellers Go Cellular,” *New York Times*, 20 Jan.
 Satō, Y. (2006), *Nihon Eigashi*, rev. ed., vol. 1. “Tale of Genji” (1926), *Times Literary Supplement*, 18 Mar.
 Tanizaki, J. (1981), “Jōzetsuroku,” in *Tanizaki Junichirō zenshū*.
 Tanizaki, J. (1985), *Naomi*, trans. A. Chambers.
 Wittgenstein, L. (2005), *The Big Typescript: Ts 213*, ed. C.G. Luckhardt and M.A.E. Aue.
 Woolf, V. (1986), *Collected Essays of Virginia Woolf*, vol. 4.
 Woolf, V. (2002), *Common Reader*, ed. A. McNellie.
 Zwicker, J. (2006), *Practices of the Sentimental Imagination*.

Jewish American Novel

BENJAMIN SCHREIER

There is little consensus about the definition of the Jewish American novel. Should we

mean novels both by and about American Jews, or is one of these criteria sufficient? For that matter, how is “American Jew” defined? As with any identity-based canon, the problem is that barring racialist logic, the categories are incoherent (see RACE). To argue narrowly, that a Jewish novel reflects the tenets of Judaism, is to miss the bulk of Jewish American writers, whose secularism defies religious dogmas (see RELIGION). Similarly, language cannot demarcate the Jewish American novel; indeed, European-born Jews writing in YIDDISH in the U.S., like Scholem Asch and I. B. Singer, only complicate our job. To more broadly insist that Jewish novels thematically explore specifically Jewish ideals, sensibilities, or leitmotifs—novelist Cynthia Ozick, for one famous example, claims that Jewish literature is necessarily “liturgical”—or that the Jewish American novel presents Jews experiencing problems historically experienced by Jews—such as religious doubt, generational conflict, anti-Semitism, assimilation, marginality, etc.—is to plunge into a metonymical morass from which only race provides coherent escape.

Finally, to what extent do we assume that the Jewish American novel should be good for the Jews? Philip Roth, for example, spent the first half of his career contending with nationalist censors within the Jewish establishment (like Marie Syrkin, 1899–1989) who labeled him a self-hater for his unflattering portraits of postwar suburban *all-rightniks* (see CENSORSHIP). This reactionary campaign was joined even by prominent scholars like Irving Howe (1920–93), whose charge that Roth suffered from a “thin personal culture” ultimately implied that Jewish literature should make Jews look good to a Gentile public. Such conservative presumption recurs to this day, as in the case of writer Nathan Englander. But if discussing the history of the Jewish American novel is impossible without engaging powerful

assumptions—including, notably, that it is also a history of the Jews—then by highlighting the tradition’s leading figures and major themes, it is possible to tackle this problem head-on, examining the Jewish American novel as a machine for the production of Jewish Americans.

THE JEWISH AMERICAN NOVEL THROUGH WWII

Perhaps the easiest way to analyze the Jewish American novel is historically, identifying the characteristic themes of successive phases. In the first stage of this history, lasting through the 1920s, the Jewish American novel responds to the problem of immigration. The setting is often the impoverished urban American ghetto (chiefly New York’s Lower East Side); the cast includes immigrants and their American-born children; and the dramas center on struggles with acculturation and secularization. Abraham Cahan’s *The Rise of David Levinsky* (1917) is widely cited as the first literarily significant Jewish American novel. Cahan establishes a keynote by consistently showcasing Jewish ambivalence toward America’s modern secular demands, and his earlier short comedic novels, *Yekl* (1896) and *The Imported Bridegroom* (1898), are also important in this regard. Almost as canonized by this point is Anzia Yeziarska, who immigrated as a young girl. *Salome of the Tenements* (1923) depicts the fraught marriage between an immigrant woman and an American millionaire. *Bread Givers* (1925), her most widely read novel, centers on a woman who replaces constricting filial bonds with worldly filial attachments. *Arrogant Beggar* (1927) satirizes the settlement movement and those drawn into its orbit. She also published the autobiographical novel *Red Ribbon on a White Horse* (1950) at age 70 (see LIFE WRITING). Other

major novelists include Samuel Ornitz, whose *Haunch, Paunch, and Jowl* (1923) parodies the materialism of new “allrightniks”; Mary Antin, whose autobiographical *The Promised Land* (1912) focuses on the disruptive transformation from shtetl (small-town) Jew to modern American citizen; and the father-and-son duo Hyman and Lester Cohen, whose *Aaron Traum* (1930) describes a sweatshop laborer’s discovery of intellectual culture and radical politics. Common themes in these early realist novels—mostly by Eastern European immigrants—are a redemptive socialism, whose messianism has been labeled “Judaism secularized” (Rischin); tyrannical old-world religious dogmatism; unjust capitalism typified by the sweatshop; generational conflicts between immigrants and their American children; and ambivalence toward New-World Jewishness (see REALISM). German Jewish novelist Ludwig Lewisohn inhabits a variant tradition; his *The Island Within* (1928), chronicling three generations of a Jewish family, is more comfortable with Anglo-American milieus and focuses less on cultural disruption. Edna Ferber’s *Fanny Herself* (1917) represents another variation; in the novel, Ferber (who was born in Kalamazoo, Michigan, and raised after age 12 in Appleton, Wisconsin), depicts Midwestern women—far from a readily marked urban Jewish ghetto—struggling to carve out a legible identity in a male- and Gentile-dominated context.

A second stage of the Jewish American novel began in the 1930s and lasted through WWII. Many consider the Depression-era Jewish American novel as a subspecies of the proletarian novel, though this categorization can be reductive (see CLASS). Authors like Henry Roth, in *Call It Sleep* (1934); Daniel Fuchs, in his *Williamsburg Trilogy* (1934, *Summer in Williamsburg*; 1936, *Homage to Blenholt* and 1937, *Low Company*); Michael Gold, in *Jews Without Money* (1930, 1935);

Nathanael West, in *Miss Lonelyhearts* (1933) and *Day of the Locust* (1939); Isidor Schneider, in his semi-autobiographical *From the Kingdom of Necessity* (1835); and Tillie Olsen, in *Yonnonidio* (pub. 1974), plumbed the Depression’s far-reaching economic, cultural, and social transformations. Tess Slesinger’s *The Unpossessed* (1934) presents a farcical satire of this radical intellectual milieu’s preoccupation with itself. Judaism, preserved by earlier writers even if they acknowledged its American transformation, is now outmatched by America at best, an authoritarian delusion at worst. This second generation—many born in America, many professional writers—combined MODERNIST experiments in literary form and radical social critique to create flamboyant and polemical fictions that questioned erstwhile pieties such as the gospel of progress, patriotism, nationality, and cultural tradition. SURREALISM and symbolism emerge as new tools to expose industrial capitalism’s domination of human relationships (see MARXIST).

The 1940s mark another turn for the Jewish American novel, though many of these new writers differ from the 1930s novelists in focus more than age, sharing the same generational crucible of radical politics and modernist poetics. Figures like Isaac Rosenfeld, in *The Passage From Home* (1946); Saul Bellow, in *Dangling Man* (1944) and *The Victim* (1947); Paul Goodman, in the *Empire City* novels (1942, *The Grand Piano*; 1946, *The State of Nature*; and 1950, *The Dead of Spring*); Delmore Schwartz, in his failed novel *The World is a Wedding* (published as a long short story in 1948); and Lionel Trilling, in *The Middle of the Journey* (1947), all of whom were writing also for newly ascendant journals like *Partisan Review* and *Commentary*, steer clear of the prevailing leitmotifs of their predecessors and adopt a new metaphysics. Outrage is replaced by a lyrical alienation; indeed, Goodman called *The Grand*

Piano an “almanac of alienation.” The ex-Communist, second-generation Jewish American, devoted to a literature of turmoil indebted to European modernism (and perhaps preoccupied with a masculine self-image), replaces the socialist immigrant as the new figure of the Jewish writer.

THE POSTWAR JEWISH AMERICAN NOVEL

The period from WWII to the early 1970s marks another phase of the Jewish American novel. Showcasing humor, (male) libido, and the major literary awards, this is often called the Golden Age of Jewish American literature. Mark Shechner labels the novels of this period allegories of loss that, by a strange logic, grant their writers a ticket to the American heartland. The keynotes in the 1940s and 1950s are crisis and conversion: the American Jew can no longer be the person s/he was (Shechner 1968b). Not only does the Dostoyevskian alienation of Rosenfeld and early Bellow show the economic and political concerns of the 1930s in decline, but in the writing of Norman Mailer, for example, as in Bellow’s novels of the 1950s, including *The Adventures of Augie March* (1953)—which, opening with “I am an American, Chicago born,” is often cited as a key turning point when the Jewish American novel enters the mainstream of U.S. literature—*Seize the Day* (1956), and *Henderson the Rain King* (1959), the ideologies of the fathers are traded in for the therapeutic replacements of antic rage and psychosexual liberation. But there’s still another way this literature suggests change, in many ways more significant, and problematic, for the history of the Jewish American novel. In the early novels of Bernard Malamud, like *The Assistant* (1957) and *A New Life* (1961), characters born into Jewish milieus no longer inhabit a determin-

ably Jewish orbit; his first novel, *The Natural* (1952), lacks any explicit Jewish content. A major theme of Philip Roth’s early novels, like *Goodbye, Columbus* (1959), *Letting Go* (1962), *My Life as a Man* (1964), and *Portnoy’s Complaint* (1969), is a decreasingly persuasive Jewish tradition. If Malamud was later to say (famously) that “Every man is a Jew though he may not know it” (Lasher, 30), the price of universality may be the disappearance of self-evident Jewish experience. Jewish novelists after the war are not only ex-immigrants and ex-Trotskyists: increasingly, as they enter the American middle class, leaving the city for the suburbs, Jews are becoming ex-Jews, too. In the avant-NATURALISM of Mailer, Bellow, Malamud, and Roth, Jewish tradition seems to be decomposing. In fact, this literature of loss is really a literature of “departure” (Schwartz’s word): the postwar Jewish American novel of crisis chronicles an alienation that is catalytically productive: of a new kind of Jewish American as much as of a newly NATIONAL literature.

But while the persuasive power of Jewish tradition decayed between WWII and the Vietnam War (1954–75), the Jewish American novel of the period also highlights a Jewish self that does not fully accede to the terms of a dominant Americanism. After 1948 and especially 1967, Israel, like the Holocaust, proves that Jews, whatever else one might say, exist, and in the 1960s and 1970s, we see a kind of return of the repressed as assimilated Jews rediscover an incompletely suppressed Jewishness. Race becomes a major theme, as black power, civil rights, and ethnic identity movements offer new ways of focusing the problematic of Jewish American identity. Yiddish survives only in piecemeal form, in punchlines or menus, and the dynamic contradictions of the ghetto so central to the early Jewish American novel recede beneath suburban American continuities, but vestigial habits fostered

elsewhere, among others, and in forgotten religious practices stubbornly resurface. Though these remainders survive most often as clichés or, in Shechner's phrase, a habit of self-irony, they nonetheless offer testimony to something that, though irrecoverable, actually was real. Bellow's *Herzog* (1964) depicts a man adrift in modern America encountering his Jewish past, but it is yet another fragment, lacking coherence in itself, and incapable on its own of offering refuge, and *Mr. Sammler's Planet* (1970) portrays a Holocaust survivor, submerged in late-1960s degenerate New York, rediscovering—albeit too late—a salvific force in the potential of Jewish community he has always ignored. Malamud's mid-career novels, *The Fixer* (1967) and *The Tenants* (1971), like Edward Lewis Wallant's *The Pawnbroker* (1961), feature a Jewishness that has become a kind of social liability even as it cannot be abandoned.

If the pre-Vietnam Jewish American novel reacted to integration by revealing an American self who is only residually Jewish, then the mid-1970s signal another shift. We now note a fear that mid-century assimilation, though beneficial in many respects, has endangered American Judaism and fractured the Jewish community. On the one hand, the Jewish American novel stages a return: a religious return to faith and orthodoxy, a linguistic return to Yiddish and Hebrew, and a cultural and nationalistic return to Europe and Israel (however dubious this might be for American Jews born after WWII). On the other hand, the post-Vietnam Jewish American novel nurtures revolutionary energies, including an interest in broadening religious roles for women; new, heretofore incoherent secular forms of Jewish practice; crossbred paradigms of religious and national identity; and often ingenious attempts at what I will inelegantly call historical hybridity, attempts at reconciling Jewish realities from

across the geographical, national, linguistic, religious, literary, and temporal sweep of Jewish history.

Since the 1970s the Jewish American novel depicts in a hybrid style a picture of many contradictory forces at work. Notably, it reasserts a vital, multivalent Jewishness. Cynthia Ozick's novels, including *The Cannibal Galaxy* (1983), *The Messiah of Stockholm* (1987), and *The Puttermesser Papers* (1999), explore how Jews have faith in themselves as Jews in the face of both Holocaust, secularization and just history itself. And Philip Roth's important autobiographically charged chronicle of Nathan Zuckerman (itself a piercing commentary on Jewish American literary history)—*The Ghost Writer* (1979), *Zuckerman Unbound* (1981), *The Anatomy Lesson* (1983), and *The Prague Orgy* (1985), continuing in *The Counterlife* (1986) and *Exit Ghost* (2007), with a few stops in between—renders a second-generation Jewish writer searching for a post-religious identity that, though irrepressible, refuses to be self-evident, even as it complicates the sexual, social, cultural, and economic practices of daily American life. This is Roth's great theme in his post-Cold War novels, like *Operation Shylock* (1993), *Sabbath's Theater* (1995), *American Pastoral* (1997), *The Plot Against America* (2004), and *Everyman* (2006). E. L. Doctorow, in novels like *Ragtime* (1975) and *Billy Bathgate* (1989), relocates a desentimentalized Jewish America within a complex American history.

More recently, younger writers have tried to express a dynamic twenty-first-century Jewish American identity, frequently despite yawning historical, religious, and cultural divides separating them from traditional Jewish communities and practices. Writers like Jonathan Safran Foer, in *Everything is Illuminated* (2002); Nicole Kraus, in *The History of Love* (2005); Gary Shteyngart, in *The Russian Debutante's Handbook*

(2003) and *Absurdistan* (2006); Michael Chabon, in *The Amazing Adventures of Kavalier and Clay* (2000) and *The Yiddish Policeman's Union* (2007); Jonathan Rosen, in *Eve's Apple* (1997) and *Joy Comes in the Morning* (2004); Dara Horn, in *The World to Come* (2006); and Tova Mirvis, in *The Ladies Auxiliary* (1999) and *The Outside World* (2004) explore the often contradictory demands of being Jewish and American, especially given the nonparallel terms of Jewish and American histories.

THE JEWISHNESS OF THE JEWISH AMERICAN NOVEL

As even this short history demonstrates, the Jewish American novel can just as easily be described by its major themes as chronologically. Thus we could categorize it by its representation of poverty, assimilation, sex, anti-Semitism, African Americans, Israel, religious ambivalence, or even its recasting of European, American, and Jewish histories. Alternatively, some find the "education novel," which functions both as a BILDUNGS-ROMAN exploring youth's initiation into adulthood and as a rhetorical device examining social conditions, to be a pervasive form across the history of the Jewish American novel (Sherman). The one thing we surely should not do is assume, under the racist sign of identity, that the Jewish American novel is representationally self-evident. Fortunately, the Jewish American novel has in fact mostly not taken itself for granted, and, by making the representation of American Jewishness its principle problematic, it persuasively resists the reactionary assumption of Jewish literary history's self-evidence.

SEE ALSO: African American Novel, Asian American Novel, Latina/o American Novel, Psychological Novel, Regional Novel.

BIBLIOGRAPHY

- Chametzky, J. (1986), *Our Decentralized Literature*.
 Howe, I. (1972), "Philip Roth Revisited," *Commentary* 54:69–77.
 Lasher, L., ed. (1991), *Conversations with Bernard Malamud*.
 Rischin, M. (1962), *Promised City*.
 Rosenberg, W. (2001), *Legacy of Rage*.
 Shatzky, J. and M. Taub, eds. (1997), *Contemporary Jewish-American Novelists*.
 Shechner, M. (1987), *After the Revolution*.
 Shechner, M. (1990), *Conversion of the Jews and Other Essays*.
 Sherman, B. (1969), *Invention of the Jew*.

Jewish Novel see Central Europe; German Novel; Yiddish Novel

Journalism

MATTHEW RUBERY

Journalism involves a range of writing practices not easily distinguishable in some instances from those used by novelists. Historically, the distinction between the two kinds of writing has often been a source of controversy. The term journalism was introduced into the English language in the 1830s, although the traditions of this form of public communication were well established by that point. Since the seventeenth century, journalism has evolved from the private exchange of intelligence to the public dissemination of information through various media including print, radio, television, and the internet. Before the printing press, news circulated in the form of speech and written manuscripts, and from the sixteenth century onward the earliest printed news was in many ways a record of the informal exchange of information, known as gossip or rumor (see PAPER AND PRINT). The first newsletters were translations of foreign events, natural disasters, and supernatural occurrences. In 1621, for example, Thomas

Archer produced the first English “coranto,” or newsbook, a digest of foreign news translated from Dutch. The development of news written about the contemporary world at regular intervals, as opposed to occasional reports about singular events, was a key step in the eventual separation of journalism from literature (C. J. Sommerville, 1996, *The News Revolution in England*). Another important distinction was the claim to be based on facts.

The relationship between fact and fiction was a fundamental literary problem before the eighteenth century. Ben Jonson’s play *The Staple of News* (1625), for example, ridicules printed news as a means to cheat people out of their money. History and fiction blur together in many narratives from Greek and Roman times until the sixteenth century. No real distinction between fact and fiction in the modern sense of the terms would have been tenable in these early centuries. The words “newes” and “novel” were used interchangeably throughout the seventeenth century to describe a wide variety of writing, such as ballads that might or might not be true (L. J. Davis, 1983, *Factual Fictions*, 48). There was still no clear distinction between news and fiction when Daniel Defoe’s *Robinson Crusoe*, considered to be one of the first English novels, was written in 1719. Defoe was merely following convention in his novels when claiming to be relating an overheard story or to be the editor of a lost document (see *FRAME*). As both a journalist and novelist, Defoe treated fact and fiction as almost indistinguishable. His *Journal of the Plague Year* (1722) presents itself as an eyewitness report of the Great Plague of London (1664–66), when it is actually a fictionalized account written several decades after the event. (Born in 1660, Defoe was a child at the time.) The distinction between journalism and novels, or factual and fictional narratives, would become more firmly established throughout the eighteenth century.

THE NEWSPAPER NOVEL

Literary and journalistic traditions have been closely related in America and Britain since the nineteenth century. Many American novelists, including Willa Cather, Theodore Dreiser, William Dean Howells, Jack London, Frank Norris, John Steinbeck, and Richard Wright served apprenticeships as journalists before turning to fiction, and journalism influenced their later writing. For example, Ernest Hemingway’s terse style is often attributed to his experience as a reporter for the *Kansas City Star* (S. F. Fishkin, 1985, *From Fact to Fiction*). Many of these former journalists turned to fiction due to doubts about the ability of conventional journalism to capture the complexities of experience or to engage readers at a suitably emotional level. These writers often blur the line between factual reporting and fictionalized storytelling, as in Mark Twain’s *Roughing It* (1872), a semi-autobiographical account of a stagecoach journey across the Great Plains and Rocky Mountains (see *LIFE WRITING*). The journalism of Stephen Crane likewise featured invented characters and dramatic dialogue. Crane was known to chronicle the same incident in multiple genres, as when he retold the story of his shipwreck in a newspaper article, magazine piece, and the short story, “The Open Boat.” While journalism was often a prelude to fiction, the reverse was also true in Crane’s case. He did not see a battlefield until two years after writing *The Red Badge of Courage* (1895), an exceptionally realistic depiction of a young man’s experiences in the American Civil War (1861–65).

In Britain also, involvement with journalism was the rule rather than the exception for nineteenth-century authors, virtually all of whom wrote for the press at some point during their literary careers. One has only to take the example of Charles Dickens, who worked in journalism in some capacity throughout his entire career. He began as a

freelance journalist writing anonymous reports for the morning paper *The British Press*. After learning shorthand, he worked as a parliamentary reporter amid fervent debates over electoral reform. *Sketches by Boz* (1836) is a collection of the descriptions of urban life he wrote as a reporter for the *Morning Chronicle*. Journalism continued to play a prominent role in his career as a novelist. Under his editorship, *Bentley's Miscellany* first published *Oliver Twist* in its pages from 1837 to 1839. Two other magazines edited by Dickens later in his career, *Household Words* and *All the Year Round*, encompassed fiction, verse, and documentary reportage of the sort that had long featured in his fictional narratives. Nowhere else could readers get first sight of the serialized novels *A Tale of Two Cities* (1859) and *Great Expectations* (1861; see SERIALIZATION).

The growing influence of journalism is evident in a number of nineteenth-century novels that treat the press as a key theme. Working for the press is a crucial stage in the protagonist's development in Honoré de Balzac's *Illusions Perdues* (1837–43, *Lost Illusions*), Dickens's *David Copperfield* (1850), and William Makepeace Thackeray's *Pendennis* (1848–50). Some novelists borrowed their ideas straight from the pages of newspapers. Victorian novelist Charles Reade kept clippings from the *London Times* and other newspapers on which to base the improbable plots of his sensation novels in the 1860s. The deprecatory label "newspaper novel" was used during this period to describe a subgenre of fiction derived from actual criminal reports taken from the newspapers (see GENRE). In some cases, the press even took its stories from novels. Joseph Pulitzer's *New York World* commissioned the journalist Nellie Bly to beat the imaginary travel record set by Jules Verne's novel *Around the World in Eighty Days* (1873).

Toward the end of the nineteenth century, a number of novelists addressed the growing influence of the press as a potential crisis for serious literature. The sensational press is satirized in Anthony Trollope's *The Warden* (1855), Henry James's *The Bostonians* (1886) and *The Reverberator* (1888) and, later, Evelyn Waugh's *Scoop* (1938). George Gissing's *New Grub Street* (1891) provides a highly pessimistic account of a literary community overrun by commercial interests associated with the newspaper press. The novel's title makes an unflattering comparison between contemporary journalism and an eighteenth-century London street synonymous with hacks writing for commercial rather than artistic purposes. Gissing's novel depicts the growing divide between literature and journalism toward the end of the nineteenth century, as the growth of the mass media challenged literature's influence. The hostile reaction toward the mass media by twentieth-century artists is, in part, responsible for the retrospective demotion of journalism as a form of writing in favor of privileged artistic forms such as the novel. Oscar Wilde humorously described the division, noting: "journalism is unreadable, and literature is not read" (1905, "The Critic as Artist"). Many early twentieth-century modernist authors expressed outright hostility toward the press for its disregard of literary standards (see MODERNISM). The newspaper became a familiar stylistic trope for experimental authors like James Joyce, who playfully incorporated newspaper headlines into his novel *Ulysses* (1922) as a way of using the techniques of the mass media against itself.

THE NEW JOURNALISM

Journalism continued to influence novelists in the U.S. and Britain throughout the

twentieth century. The muckraking journalism of the reform period 1890–1912 often exploited elements of fictional narrative in their vivid exposés of big business and government corruption in the U.S. The best-known example is Upton Sinclair's *The Jungle* (1906), a novel whose graphic depiction of the meat-packing industry was partly responsible for the passage that same year of the Pure Food and Drug Act and the Meat Inspection Act. The “reportage school” of the 1930s and the Federal Writers' Project used narrative forms to chronicle the suffering of America's poor during the Great Depression (1929–39) in works such as Walker Evans and James Agee's *Let Us Now Praise Famous Men* (1941), which combines pictures and text originally written for a magazine article on white sharecropper families in Mississippi. Some of the twentieth century's most influential nonfiction was written by British novelist George Orwell, whose *Down and Out in Paris and London* (1933) and *Homage to Catalonia* (1938) are set apart from other documentary investigations by a distinctly personal voice. These narratives rely heavily on dramatic, in-depth reporting that influenced many writers later in the century.

The New Journalism of the 1960s and 1970s combined techniques hitherto associated with either fiction or nonfiction genres. While there were a number of precedents, the beginning of the New Journalism has been linked to the publication of Truman Capote's *In Cold Blood* (1965) and Tom Wolfe's newspaper articles written in an experimental style for the collection *The Kandy-Kolored Tangerine-Flake Streamline Baby* (1964). Capote was one of many novelists who turned to documentary forms as an alternative to fiction in the 1960s. *In Cold Blood*, an account of the murder of a Kansas farm family, defies classification as either fiction or nonfiction,

despite the author's six years of meticulous research into the crime. He coined the term “nonfiction novel” in a series of interviews describing his work as a fusion of journalistic and fictional narrative forms. This approach was influenced by John Hersey's *Hiroshima* (1946), an attempt to write a novelistic factual narrative about the aftermath of the atomic bomb. Norman Mailer also combined elements of fiction and nonfiction in works such as *The Armies of the Night* (1968), subtitled *History as a Novel, the Novel as History*. These attempts to re-create true events in the manner of narrative fiction emphasized the degree to which nonfiction was capable of the moral seriousness of the novel (J. Hollowell, 1977, *Fact & Fiction*, 11).

Wolfe's “Manifesto,” in his anthology *The New Journalism* (1973), advocated the need for journalists to go beyond the limits of conventional reporting in order to represent the turbulent events of 1960s America. He identified four narrative devices borrowed from realistic fiction to chronicle contemporary events: (1) dramatic scenes instead of historical summary, (2) complete dialogue instead of occasional quotations, (3) multiple points of view instead of the narrator's perspective, and (4) close attention to status details. Use of these literary techniques enabled journalists to provide PSYCHOLOGICAL depth to a degree not usually possible in newspaper reporting based solely on facts. The voice of the New Journalist was avowedly subjective in opposition to the objectivity expected from reporters since the beginning of the twentieth century. Other writers associated with the New Journalism include Hunter S. Thompson, Jimmy Breslin, Joan Didion, and Gay Talese. While Wolfe argued that journalism had surpassed the novel in terms of literary merit, critics have dismissed the New Journalism as “parajournalism” for claiming both the

factual authority of journalism and the fictional license of the novel (Macdonald). Other critics expressed concern about turning reportage into mere entertainment, distorting facts through fictional devices, and replacing objectivity with egoism. However, some literary critics consider the New Journalism to be a genre of fiction whose lineage extends back to nineteenth-century writers such as Lincoln Steffens, Jacob Riis, and Stephen Crane (J. Hellmann, 1981, *Fables of Fact*). Most recently, a new generation of writers influenced by the reportorially based, narrative-driven nonfiction associated with the New Journalism, has been labelled the "New New Journalism" (R. S. Boynton, 2005, *The New New Journalism*).

SEE ALSO: Adaptation/Appropriation, Definitions of the Novel, Detective Novel, Realism.

BIBLIOGRAPHY

- Altick, R. (1998), *English Common Reader*, 2nd ed.
 Conboy, M. (2004), *Journalism*.
 Hartsock, J. (2000), *History of American Literary Journalism*.
 Hughes, L.K. and Lund, M. (1991), *Victorian Serial*.
 Hunter, J.P. (1990), *Before Novels*.
 Law, G. and Morita, N. (2000), "The Newspaper Novel," *Media History* 6:5–17.
 Macdonald, D. (1965), "Parajournalism, or Tom Wolfe and His Magic Writing Machine," *New York Review of Books*, 26 Aug.
 Wolfe, T. and Johnson, E.W., eds. (1973), *New Journalism*.

K

Kavya *see* Ancient Narratives of South Asia

Korea

SUNYOUNG PARK

The notion of a Korean novel (*Han'guk sosŏl*) is today a highly contested concept whose boundaries of GENRE, language, and geographical location are open to interpretation. The Korean word *sosŏl* (literally “small talk,” from the Chinese *xiaoshuo*) is not an exact equivalent of “the novel” in English. In premodern times, the word referred to a wide range of fiction and nonfiction, including fantasies, folktales, biographies, and miscellaneous essays, and today Koreans would call fictional works of any length *sosŏl*. In addition, classical Chinese was the official literary language in Korea from antiquity until the early twentieth century. Although *han'gŭl*, the Korean vernacular script introduced in 1443, played a major role in the development of the novel in modern times, many Korean novels in the premodern era were written in Chinese. Finally, since the late nineteenth century an intensifying Korean diaspora has created large Korean communities around the world. As a result, many works relevant to the Korean tradition are today written in foreign languages such as Japanese, Chinese, Russian, and English.

While its roots lie in medieval fantastic biographies as well as fifteenth-century tales of wonder, the genre of the novel took hold in Chŏson Korea only around the beginning

of the seventeenth century. It was then that advancements in commerce as well as agricultural technology led to the development of a thriving market for prints, calligraphies, and books in Seoul. Originally circulated as manuscripts among a very limited number of readers, classical novels came to be increasingly reproduced for broader circulation by lending libraries and publishers using woodblock printing (see LIBRARIES, PUBLISHING). Most of these novels were left anonymous, reflecting the unwillingness of Confucian scholarly writers to be associated with a commercial enterprise. But anonymity also sheltered writers from possible reprisals from royal authorities (see COPYRIGHT), and it allowed book lenders to freely change plots and characters according to the tastes and requests of their customers.

Hŏ Kyun's *Hong Kiltong chŏn* (sixteenth century, *The Tale of Hong Kiltong*) is widely regarded as the first novel to have been written in the *han'gŭl* vernacular script. Hong Kiltong is an aristocrat's illegitimate son who, barred from high office because of his birth, becomes the leader of a group of bandits dedicated to the defense of the poor and the weak. The vicissitudes of his adventures culminate with his founding of a utopian kingdom on the imaginary island of Lŭ dao. Hŏ's epic novel exhibits a prevalence of elements more properly belonging to fantasy and myth—the bandit hero possesses magic powers and fights supernatural creatures (see MYTHOLOGY). Yet behind these unrealistic props, *Hong Kiltong chŏn* also

hides a pointed, subversive critique of the discriminatory treatment of illegitimate sons as well as the corruption of the aristocratic class. Likely inspired by the Chinese classic *Shuihu zhuan* (fourteenth century, *The Water Margin*) as well as by the legend of a fifteenth-century bandit, Hō's novel sets a precedent for later military hero fictions such as *Imjinnok* (ca. 1800, Record of the Black Dragon Year), set during the Japanese invasion of 1592, and *Pak ssi chŏn* (ca. 1700, The Tale of Lady Park), which features a female heroine valiantly resisting the Manchu invasions of 1627 and 1637.

In addition to the military hero EPIC, two further genres characterized Korean classical literature ROMANCE, best exemplified by Kim Manjung's seventeenth-century masterpiece *Kuunmong* (1689, *The Cloud Dream of Nine*), and the family or clan saga, a highly productive genre that includes works of extraordinary length such as the 180-volume *Wanwŏl hoemaengyŏn* (seventeenth–nineteenth centuries, The Promise at the Wanwŏl Pavilion). Both genres catered especially to the literary tastes of women readers. In *Kuunmong*, a dream tale set in an imaginary Tang China (618–907 CE), a Buddhist monk is reborn into the human world as a form of punishment for an act of hubris: he has daydreamed of living the life of a successful Confucian gentleman surrounded by eight courtesan fairies. The monk child grows up to live a full life, journeying from humble origins to the high rank of Prime Minister. Over time he meets eight women, all reincarnates of the fairies, and he falls in love with and marries all of them. At the end of his adventures and romances, however, the man is struck with a feeling of emptiness, which leads to his awakening from what turns out to have been another dream—or daydream. A refined narrative with a characteristic cyclical structure, *Kuunmong* inspired later romances, such as *Unyŏng chŏn* (seventeenth

century, *The Tale of Unyŏng*) and *Ongnumong* (nineteenth century, Dream of Jade Tears), that inherited its dream theme as well as its luxurious romantic plot richly woven with a series of poems.

Some classical novels are particularly notable for their probable female authorship. While many historical women have been identified as the authors of poetry, essays, and memoirs in both Korean and Chinese, female novelists were long believed to be few and far between, partly because of the general anonymity of novels *Ongnumong* and partly because women in Chosŏn Korea rarely received a literary education. It was only recently that Korean scholars began to make use of textual criteria in their attribution of novels to women writers. They noted phenomena such as the portrayal of more autonomous female characters, the detailed depiction of gendered experiences such as housewifery and pregnancy, and a more critical attitude toward the patriarchal social order (see GENDER). Works that are now linked to female authors include romances such as *Unyŏng chŏn*, court fictions like *Inhyŏn wanghu chŏn* (eighteenth century, The Tale of Queen Inhyŏn), women hero fictions such as *Pang Hallim chŏn* (nineteenth century, The Tale of Pang Hallim), which depicts a marital bond between two women, and clan sagas such as *Wanwŏl hoemaengyŏn* and *Ogwŏn chaehap kiyŏn* (seventeenth century, Rare Reunion of a Couple). The length of some of these works also suggests a possible collective authorship. Research on female writers is still in its incipient stages, but the fact that women were the main consumers and, in some cases, the producers of classical novels is today a consensus among Korean critics and historians.

The end of the eighteenth century was a time of turmoil within Chŏson Kingdom. Increasing corruption among government officials, joined with the rise of a newly rich

but underrepresented CLASS of commoners, led to a widespread demand for reforms among different constituencies of Korean society. One expression of such demand was the movement of *Sirhak* (literally, “practical learning”), which favored a pragmatic and rationalistic approach to the administration of public affairs. One of *Sirhak*’s most prominent exponents, Pak Chiwŏn, wrote satirical fictions in Chinese that mercilessly exposed the failings of the *yangban*, the elite aristocratic class whose conservatism Pak held to pose a hurdle to Chŏson’s development. If *Sirhak* was a typically scholarly response to the perceived social crisis, a more popular expression of protest was found in the performance art of *p’ansori*, a plaintive form of storysinging characterized by colorful folksiness and an intense emotional charge. Among the most representative examples is *Ch’unhyangjŏn* (eighteenth century, *The Song of a Faithful Wife*, *Ch’unhyang*), which was adapted into a novel and to this day remains one of Korea’s most beloved fictional narratives. A love story of a magistrate’s son and a lowly courtesan’s daughter, *Ch’unhyangjŏn* chronicles the young couple’s mistreatment at the hands of high officials, with the young man eventually rescuing Ch’unhyang from her subjection to a corrupt magistrate. The story is notable for its affirmation of love marriage across class divisions as well as its indictment of aristocratic abuses of power. For its mixing of subversive values and romantic pathos, the story has enjoyed an enduring popularity and has been reproduced in over 120 versions, including numerous theatrical and screen adaptations.

The advent of modernity in the late nineteenth century transformed Korean society and culture (see MODERNISM). As was the case elsewhere, modernity came to Korea in the form of an influx of primarily Western values—such as liberalism, capitalism, and scientism—in a variety of fields. For Korea,

however, this time also brought an end of China’s influence on the Korean peninsula and exposed the Chŏson Kingdom to the imperialistic ambitions of neighboring Japan. As Japan turned Korea into a protectorate in 1905, formally colonizing it in 1910, the question of national independence became the most central preoccupation of Korea’s leaders and intellectuals. Nationalism became, as a consequence, the thematic mark of Korean modernity (see NATIONAL).

From an aesthetic point of view, modernity in Korean fiction produced an emphasis on realistic plots, a more exhaustive PSYCHOLOGICAL rendering of the characters, and the universal replacement of classical Chinese with Korean as a literary language. A slow and gradual process, the modernization of the Korean novel began with Yi Injik’s *Hyŏl ūi nu* (1906, *Tears of Blood*), the tale of an orphaned girl growing into a modern woman through her education in Japan and the U.S. Yi serialized the novel in his newspaper *Mansebo* as a means to boost sales (see SERIALIZATION), and he created for it the advertising label of *sin sosŏl* (“the new novel”). But while the novel introduced the modern theme of the nation, it also adhered closely to the stylistic conventions of vernacular classical fiction. By contrast, Yi Kwangsu’s *Mujŏng* (1917, *The Heartless*), generally regarded as the first modern novel, was written in a distinctly modern narrative style featuring characters endowed with unprecedented psychological complexity. Combining the confessional writing style of Japanese NATURALISM with the most familiar elements of popular MELODRAMAS, the novel details the sentimental journey of a young intellectual torn between his childhood love, a traditional girl raised in a Confucian manner, and a New Woman who is educated in Western arts and music. A poignant representation of the conflict between modern and traditional values, *Mujŏng* eventually resolves all personal tensions in a collective

awakening to national responsibility as the protagonists choose to devote themselves to the cause of educating poor Korean people.

A distinctive and powerful literary movement gained momentum in 1920s Korea under the influence of socialism and the Russian Revolution. Socialism inspired many Korean intellectuals to reconceive colonization as a process of exploitation rather than civilization, and to accordingly envision an alternative path to modernity through a social revolution. Leftist writers, who organized around the KAPF (Korea Artista Proleta Federatio, 1925–35), replaced the elite bourgeois protagonists of previous novels with the characters of potential revolutionaries such as peasants, laborers, and impoverished intellectuals. Their novels focused on representing the material and economic aspects of social reality, and they correspondingly played down the previous emphasis on the introspective analysis of an individual's psychological conflicts. The proletarian literary movement yielded novels such as Yi Kiyŏng's *Kohyang* (1934, *Hometown*), a vivid portrayal of the changing life in a rural village under colonial rule, and Kang Kyŏngae's *In'gan munje* (1934, *The Wŏnso Pond*), a woman writer's BILDUNGSROMAN of a proletarian couple who mature from their initial innocence into class-conscious revolutionaries. The colonial leftist writers adopted the term "REALISM" as a label for their literary aesthetics, and the concept has ever since carried a strong ideological connotation in Korean literary discourse.

The industrial development of Korea in the 1930s, which accelerated with the expansion of the Japanese empire into Manchuria, was accompanied by two rather antithetical literary responses: modernism and nativism. Modernist writers gave representation to the disorienting life experiences of urban dwellers by introducing experimental narrative techniques such as stream of consciousness,

flashback, and montage. Representative of this trend are Pak T'aewŏn's Joycean novella *Sosŏlga kubossi ūi iril* (1934, *A Day in the Life of Kubo the Novelist*), which depicts in a fragmented narrative the writer's parodied self aimlessly wandering the streets of colonial Seoul; and Yi Sang's story "Nalgae" (1936, "Wings"), which features the infantilized, socially withdrawn character of an intellectual who spends his days lost in surreal reverie. At the other end of the spectrum, nativist writers such as Hong Myŏnghŭi and Kim Tongni tried to reaffirm the fast-vanishing Korean traditional culture through the nostalgic portrayal of a historical past or a rural life (see REGIONAL). In Hong's *Im Kkŏkchŏng* (1928–39; *The Tale of Im Kkŏkchŏng*), for example, the story of a legendary sixteenth-century bandit hero is told against the background of a carefully reconstructed Korean past. The prevailing mood in the novel is one of nostalgic recollection. And yet, for all its celebration of traditional culture, Hong's saga is thoroughly modern in its infusion of nationalist as well as socialist themes in the depiction of the rural poor rising against foreign armies and the Korean aristocracy.

The colonial history of the Korean novel faded away in the early 1940s, when Japan banned the use of Korean language in print as part of its wartime assimilation policy. During these last colonial years, many Korean writers continued to write in Japanese, producing both strident propaganda and more subdued works of political ambiguity. Long excluded from both Japanese and Korean literary history, critical studies of these novels have begun to appear in recent years, with scholars paying overdue attention to their multiple textual layers.

A traumatic new beginning was imposed on Korean culture by the 1945 liberation from Japan, the 1948 national division, and the subsequent Korean War (1950–53). Fictions with existentialist themes became

prevalent in the South during the postwar period. Choe Inhun's *Kwangjang* (1960, *The Square*), for instance, is narrated by a meditative and introspective protagonist who fails to feel at ease either in the corrupt South or the totalitarian North. In the end the character leaves for a new country, but he commits suicide before reaching his destination. The angst-ridden voices of Choe and other writers turned into a rallying cry for political reform during the 1970s and 1980s, a time when Korean intellectuals played a significant role in the struggles that would eventually democratize South Korea in 1987. Among the period's most important novels are Cho Sehüi's *Nanjangi ka soa olin chagün kong* (1978, *The Dwarf*), a poetic testimony to the human costs of developmental dictatorship, and Cho Chöngrae's *roman-fleuve*, *T'aebaek sanmaek* (1986, *The T'aebaek Mountains*), a revisionary account of the Korean War told from the perspective of a group of downtrodden leftist partisans. Aside from these, works by writers such as Hwang Söggöng, Yun Hünggil, Yi Ch'öngjun, Yi Mun'gu, and Yi Hoch'öl addressed a variety of social and political problems such as national division, the uneven development of rural and urban Korea, the fading of a Korean cultural identity, and South Korea's dependence on the U.S.

A realist tradition of social engagement remains strong in South Korea today. Its themes have multiplied, however, to include many of the identity struggles that characterize modern democratic debates. Most prominently, women writers moved into the literary mainstream from the early 1990s on, after having been relegated to the gendered institutional category of women's literature for much of the twentieth century. Amid the rising tides of FEMINIST activism, older generations of women writers are today enjoying renewed critical and popular appreciation. Pak Kyungni is widely celebrated for her ambitious multi-volume *roman-fleuve*, *T'oji*

(1969–94, *Land*), while Pak Wansö, perhaps the most popular woman writer, is best known for autobiographical stories such as the trilogy of *Ömma üi malttuk* (1980–91, *Mother's Stake*), and for her sharp-witted critical depictions of middle-class family life. Feminist critics have also rediscovered O Chönghüi, whose dark portrayals of lower-class women suffering from DOMESTIC CONFINEMENT and sexual repression offer a dark perspective on the postwar decades of developmental dictatorship (see SEXUALITY). The thematic range of women's novels is further diversified by younger writers such as Kong Chiyöng, Ün Hüigyöng, Kim Aeran, and Ch'ön Unyöng, who extend their interest to issues such as the labor movement, illegal migrants, and the problems of an aging society, while at the same time delving deeper into gendered everyday experiences such as love, sexuality, marriage, and domesticity.

The contemporary literary scene in Korea is also enriched by a new generation of experimental writers who, departing from tradition and conventional genre boundaries, are creating a body of literature marked by play, PARODY, irony, and fantastic imaginations. Exemplary are Kim Yöngha's twisted, dark, surreal fantasies of computer-generation youth such as *K'wizü syo* (2010, *Quiz Show*) and Pak Min'gyu's absurdist satires of Koreans lost in globalization, such as *Chigu yöngung chönsöl* (2003, *The Legend of Superheroes*), in which a Korean teenager hallucinates joining heroes such as Superman, Batman, and Wonder Woman by transforming into "Bananaman." These and other contemporary writers have developed innovative writing styles by actively deploying the narrative strategies of popular literary genres such as DETECTIVE OR SCIENCE FICTION, as well as those of other cultural fields such as film, comics, hip-hop songs, and online blogs. Once threatened by a fast-growing media culture—the cinema and the internet in particular—South

Korean novelists thrive today by writing in ever more versatile forms for both the domestic market and a growing readership overseas.

Much has become known about North Korean literature with the recent increase in inter-Korean cultural exchanges. Until 1967, socialist realism was upheld as the official cultural doctrine, generating labor and peasant literature that projected an optimistic vision of socialist national reconstruction (see RUSSIA 20TH C.). Ch'ŏn Seborg's *Taeha nŭn hŭrŭnda* (1962, *The river flows*), for instance, chronicles the revolutionary land reform in the North following Korea's liberation from Japan. Upon the death of founding leader Kim Il-sung in 1967, the new mainstream became HISTORICAL epics of anticolonial resistance featuring Kim. The most representative work of this genre is *Pulmyŏl ūi yŏksa* (1972–, *Immortal History*), an anthology of collectively authored novels about Kim's heroic life as an anti-Japanese guerilla leader. New trends of recent years include Han Ungbin's portraits of ordinary laborers as "hidden heroes," who strive against the challenges of everyday life in contemporary North Korea. When approached with an inquisitive eye, North Korean novels, all written under heavy state CENSORSHIP, often yield unexpected insights into the changing social reality within an otherwise officially secretive state.

Ever since the colonial era, with the growth of Korean emigrants throughout the world, many writers of Korean descent have established their names on overseas literary scenes. A representative and not exhaustive list would include Younghill Kang, Teresa Hakkyung Cha, Leonard Chang, and Chang-rae Lee in the U.S.; Kim Saryang, Kim Talsu, Yi Yangji, and Yu Miri in Japan; Kim Hakch'ŏl, Lim Wŏnch'ŏl, and Hŏ Ryŏnsun in China; and Anatoli Kim and Mikhail Pak in Russia. These

writers have for long been excluded from the Korean canon, mainly owing to a narrowly ethnocentric and "purist" attitude among Korean critics. And yet their themes—including the alienating experience of migration and assimilation, ethnic and cultural hybridity, and the difficulties of cross-cultural translation—bear an increasing relevance to the life experiences of Koreans in the new millennium, as the ever-rising number of migrant laborers and the growing phenomenon of international marriage are turning Korea itself into a multicultural society. With that said, not all of these writers would feel comfortable with their absorption into the ethnonational category of a "Korean" literature. Some of them would prefer to assert their autonomous status as minority writers, whose very existence challenges the ethnic and linguistic integrity of any national literature, Korean or otherwise.

For the challenge of diasporic writers, as well as its medieval and colonial history of dual languages, the notion of a "Korean novel" can be invoked today only with a sense of self-irony. It is a concept that, in a way, deconstructs itself as soon as we try to define it. But it is also a category that preserves its utility as the marker of a distinctive and recognizable literary tradition.

SEE ALSO: Life Writing.

BIBLIOGRAPHY

- Chŏng Pyŏngsŏl, (2000), "Han'guk kojŏn yŏsŏng sosŏl: yŏn'gusa wa yŏn'gu chŏnmang," *Inmun kwahak yŏn'gu nonch'ong* 21:23–34.
- Fulton, B., (1998), "Korean Novel," in *Encyclopedia of the Novel*, ed. P. Schellinger, vol. 1.
- Fulton, B., ed. (2005), *Modern Korean Fiction*.
- Kim, C., (1994), *Pukhan munhak ūi yŏksajŏk ihae*.
- Kim, C., ed. (1999/2003), *Hanminjok munhwagwon ūi munhak*, 2 vols.

Kim, K., (1996), *Introduction to Classical Korean Literature*.

Kim, Y. and C. Houng (2000), *Han'guk sosŏlsa*.

Kŭndae munhak 100-nyŏn yŏn'gu ch'ongsŏ (2008), 7 vols.

Lee, P.H., ed. (2003), *History of Korean Literature*.

Skillend, W.E. (1969), *Kodae Sosŏl*.

Künstlerroman *see* Bildungsroman/
Künstlerroman

L

Latina/o American Novel

YOLANDA PADILLA

The term “Latino” (or *Latina* when referring to women) refers to people of Latin American descent raised in the U.S. Also referred to as “Hispanics,” Latinas and Latinos have published novels at least since the nineteenth century. Certain historical circumstances and cultural themes bind these narratives together into a vibrant “tradition,” but one should note that they are not reducible to mere history, sociology, or culture, and that, as Ortiz argues of Latina/o novelists, “their approaches to the act of narrative are as various as their distinct senses about how exactly history and fiction can and should most productively inform one another” (524–25). Generally speaking, the Latino Novel is marked by a focus on Latinas/os as simultaneous insiders/outside in relation both to the U.S. and to their ancestral homelands. Language is often one marker of this state. Numerous novels have been written in Spanish, including Aristeo Brito’s *El diablo en Texas* (1976, *The Devil in Texas*), Roberto G. Fernández’s *La vida es un special* (1982, *Life is a Special*), and Erlinda González-Berry’s *Paletitas de guayaba* (1991, *On a Train Called Absence*). However, most Latina/o novelists work in English, largely because that is often the language in which they received their education, but also for pragmatic marketing reasons; it is more difficult to find a pub-

lisher and a readership in the U.S. for books written in Spanish. Yet, even when writing in English, Latina/o authors engage in “tropicalizations” of the language; they might use literal translations of idiomatic expressions from Spanish to English, e.g., *dar a luz* (“to give light”) for “to give birth,” or code-switch to produce a richly nuanced “Spanglish,” to name two examples (F. R. Aparicio, 1997, “On Sub-Versive Signifiers,” in *Tropicalizations*, ed. Aparicio and S. Chávez-Silverman, 203–6). In so doing, they mark the persistence of Latino culture in their writing.

MEXICAN AMERICAN/CHICANA/O NOVEL

Like other Latina/o novelists, Mexican American and Chicana/o novelists have responded to historical events in their narratives, particularly those that mark a significant change in their country of origin. Mexico’s loss of valuable territory to the U.S. after the end of the Mexican—American War (1846–48) is a recurring topic in the early Mexican American novel. María Ámparo Ruiz de Burton’s *Who Would Have Thought It?* (1872) and *The Squatter and the Don* (1885) and Jovita González and Eve Raleigh’s *Caballero* (wr. 1930s and 1940s; pub. 1996) chronicle the struggles of affluent Mexican landowners annexed to the U.S. after the war. Historical romances, they use

their love plots to indict the racist treatment of Mexican Americans, and portray their attempts to keep alive a distinct cultural identity within a newly alien political sphere. Other early novels, also historically informed, focus on the Mexican American as immigrant. Américo Paredes's *George Washington Gómez* (wr. 1930s; pub. 1990), Luis Pérez's *El Coyote, The Rebel* (1947), and José Antonio Villareal's *Pocho* (1959), whose title is a slang term meaning an Americanized Mexican, are all BILDUNGSROMANS that explore the problem of embodying a bicultural identity that has no social or political viability in the early twentieth century.

The rise of small ethnic presses such as Quinto Sol in the 1960s and 1970s produced a larger number of published Mexican American novels. These novels reflected the political activism of the period, representing social injustice and thematizing conflicts arising from ethnic, gender, and sexual identities. Tomás Rivera's . . . *y no se lo tragó la tierra* (1971, . . . *and the Earth Did Not Devour Him*) eschews traditional narrative realisms, using vignettes to create an impressionistic picture of an immigrant farm-worker community. As Ramón Saldivar argues, the anonymous narrator "seeks to discover his identity and to inscribe his name . . . in the text of history" through the forgotten stories of social injustice that have marked his community (1990, *Chicano Narrative*, 77). Rudolfo Anaya's *Bless Me, Ultima* (1972) has enjoyed tremendous popular success. Saldivar speculates that *Ultima*'s blend of European myth structures with poetically crafted scenes of New Mexican local color makes it a "uniquely palatable amalgamation" to non-Mexican American audiences (104). It gives a lush account of the spiritual awakening of the young Antonio as he is guided to ethical consciousness by Ultima, the faith healer. Rolando Hinojosa-Smith's *Klail City*

Death Trip (1973–96) is a remarkable series of volumes representing the everyday lives of Texas Mexicans living in the lower Rio Grande Valley area. The second novel in the series, *Klail City y sus alrededores* (1976, *Klail City*), won the prestigious Cuban-based Casa de las Américas Prize, the first time the award was given to a U.S. citizen. Other important novels of the period include Oscar Zeta Acosta's *The Revolt of the Cockroach People* (1973), Miguel Méndez's *Peregrinos de Aztlán* (1974, *Pilgrims in Aztlán*), Margarita Cota-Cárdenas's *Puppet* (1985) and Estela Portillo Trambley's *Trini* (1986).

From the 1970s, women writers began to reinvigorate the Mexican American novel's representational horizon. Isabella Ríos's *Victuum* (1976) is a female-centered bildungsroman, comprising solely dialogue with no narrative mediation, and which Harold Augenbraum aptly describes as a "massive exploration of one person's consciousness, prenatal to posthumous" (1998, "Latino American Novel," in *Encyclopedia of the Novel*, ed. P. Schellinger, 1:749). Sandra Cisneros's *The House on Mango Street* (1983) tells the story of a girl living in a poor Chicago neighborhood who dreams of becoming a writer in order to record the stories of her community. Other Mexican American novels have also thematized the importance of storytelling for survival, including *Bless Me, Ultima*, Arturo Islas's *The Rain God* (1984), and Cisneros's *Caramelo* (2002, *Candy*). Ana Castillo's *The Mixquiahuala Letters* (1986) is an EPISTOLARY NOVEL that gives three options for the order in which the letters can be read. Each version reveals the female protagonist's understanding that "her destiny as a woman is not determined through a confrontation with herself, but . . . with a society that holds the very real threat of . . . marginalizing women" (A. E. Quintana, 1991, "Ana Castillo's *The Mixquiahuala*

Letters,” in *Criticism in the Borderlands*, ed. H. Calderón and J. D. Saldívar, 77). Like Manuel Luis Martínez’s *Crossing* (1998), Castillo’s *The Guardians* (2007) offers a humanizing account of the peril faced by Mexicans who cross illegally into the U.S. in search of work. Helena María Viramontes’s *Under the Feet of Jesus* (1995) centers on an impoverished farm-worker family. The juxtaposition of the lyricism of Viramontes’s writing with the bleakness of the lives she depicts, especially the women’s lives, heightens the narrative’s sense of tragedy. In contrast, *Their Dogs Came with Them* (2007) provides a fierce stream-of-consciousness account of despair and survival in the inner city (see NARRATIVE PERSPECTIVE).

Gay and lesbian writers have made an indelible mark on Mexican American literature, but most have worked in forms other than the novel (see QUEER NOVEL). John Rechy has been the most prolific and acclaimed gay novelist, especially for his first two efforts, *City of Night* (1963) and *Numbers* (1967). However, he has been marginalized from the Mexican American literary canon because most of his work does not address issues of ethnic identity. An exception to this is his 1991 novel *The Miraculous Day of Amalia Gómez*. Important lesbian novelists include Terri de la Peña (1992, *Margins*; 2000, *Faults*) and Carla Trujillo (2003, *What Night Brings*).

Life on the U.S.—Mexico border has long been a central theme in the Mexican American novel. Novels published in the 1980s and 1990s, such as Islas’s *Migrant Souls* (1990) and Dagoberto Gilb’s *The Last Known Residence of Mickey Acuña* (1994), employ the border as a powerful symbol of the bicultural nature of Mexican American identity. As Claudia Sadowski-Smith argues, more recent border texts engage “the negative effects of contemporary forms of U.S. empire on Mexican

border towns” (2008, *Border Fictions*, 22). These include Ito Romo’s *El Puente/The Bridge* (2000) and Alicia Gaspar de Alba’s detective novel *Desert Blood: The Juárez Murders* (2005).

THE PUERTO RICAN NOVEL IN THE U.S.

Much of the literature produced by the Puerto Rican diaspora imaginatively comments on the colonial relationship between Puerto Rico and the U.S., in effect since the U.S. invaded the island during the Spanish American War (1898). Moreover, the literature often conveys the social vulnerability diasporic Puerto Ricans have felt as “second-class citizens” forced to endure racial and cultural prejudice, while also registering their alienation from the island proper. Piri Thomas’s *Down These Mean Streets* (1967) garnered national attention for its portrayal of gang culture, poverty, and life on the streets. Augenbram speculates that its success was due in part to the value mainstream audiences attributed to it in explaining a little-known people (750). Supporting this point, a representative review characterized it as “a report from the guts and heart of a submerged population group” (D. Stern, 1967, “Books of the Century,” *New York Times Book Review*, 1). However, *Mean Streets* is more than a “report”; its deft use of language and theme makes it a literary work of sophistication. Moreover, through its exploration of the rage born of the social injustice that often marks inner-city life, it meditates on the inadequacy of the dominant black—white racial model for understanding the complexity of race in the U.S., thus anticipating notions of racial hybridity that had not yet been formulated in North America. The novel established a template for other “mean streets” narratives, the best of which

is arguably Abraham Rodríguez, Jr.'s *Spider-town* (1993).

Nicholasa Mohr's *Nilda* (1973) provides a searing critique of the oppressive power of institutions such as religion, education, and the family, all artfully told from the vantage point of a young girl who incompletely understands but profoundly feels the historical circumstances that intrude on the life of her community. *Nilda* differs from *Mean Streets* in its exploration of female oppression as a key example of social injustice, and in its thematization of art and the imagination as possible avenues of collective resistance. Edward Rivera's *Family Installments* (1982) is a raucous account of the culture shock a young Puerto Rican endures when his family leaves the island for New York. The novel chronicles the racism that affronts the protagonist in his new home with a biting playfulness that infuses the narrative with great energy. Like Rivera, Ed Vega is a master of satire and humor, which he uses to undercut the ethnic stereotyping that circumscribes understandings of the possibilities of a diasporic Puerto Rican identity. He announced this project in *The Comeback* (1985), which features a Puerto Rican-Eskimo protagonist who is a hockey player turned revolutionary. Judith Ortiz Cofer's *The Line of the Sun* (1989) and Esmeralda Santiago's *When I Was Puerto Rican* (1993) are coming-of-age stories that follow young female protagonists in a society that views them as outsiders. While these texts have achieved prominence, they have also been criticized for "attempt[ing] to come to terms with a feminine Puerto Rican diasporan legacy by rejecting it . . . as obsolete" (González, 142). Santiago's title indicates this rejection with its use of the past tense. Nevertheless, they are engaging narratives that bring to life the painful process of acculturation through a female lens.

THE CUBAN AND DOMINICAN AMERICAN NOVEL

The exodus of Cubans after the 1959 Cuban Revolution has defined the Cuban American place in the American imaginary. Despite a persistent nostalgia for the island and the possibility of return, Cubans have established lives in the U.S. that have moved them away from their initial identities as exiles to a more recognizable "immigrant mentality." Yet, as Ricardo L. Ortiz argues, while that historical narrative often shapes the Cuban American novel, this literary tradition refuses to "simply 'represent,' what are conventionally taken to be the 'histories' of . . . the Cuban American community" (521). Oscar Hijuelos's fiction illustrates this point. Hijuelos sets his novels in New York rather than Miami, the epicenter of Cuban America, and often focuses on the period prior to the Revolution. In the Pulitzer Prize-winning *The Mambo Kings Play Songs of Love* (1989, the first Pulitzer awarded to a Latino), he re-creates the brief period when Cubans were known more in the U.S. as musicians than as political exiles, and thematizes the Cuban American nostalgia for the island. The novel uses music as a conduit to the characters' memory of a Cuba that never really existed, one which is "an imagined but not at all an imaginary place, part of [their] consciousness and [their] li[ves], and now part of the country in which [they] happen . . . to be" (R. F. Patteson, 2002, "Oscar Hijuelos," *Critique* 44:46). Roberto G. Fernández's *Raining Backwards* (1988) affectionately satirizes the 1970s Miami exile community. The novel chronicles the break between Cuba and Cuban America that begins with the generations that have been raised in the U.S., and is finalized by the prohibition of the use of Spanish by the fictional Anglo-Saxon

terrorist group, the Tongue Brigade. As Henry Pérez notes, “the linguistic humor, the extravagant characters, and a reality that is paradoxically and simultaneously realistic and absurd, come together to describe the tragicomic history of the Cuban exile in Miami” in what the author himself has called a “tribute to a dying era” (1998–99, “Culture and Sexuality,” *Academic Forum Online* 16). Cristina García’s *Dreaming in Cuban* (1992, National Book Award Finalist) was the first major novel by a Cuban American woman. Among the themes it explores in its simultaneously epic and intimate account of the lives of three generations of women in the del Pino family is the divisiveness produced by profoundly felt political disagreements, thus further complicating the traditional narrative of a Cuban American community united in its opposition to the Cuban Revolution. Achy Obejas’s *Memory Mambo* (1996) and *Days of Awe* (2001) trouble notions of Cuban American identity through their incisive portraits of a lesbian and a Jewish Cuban protagonist, respectively. More recent novels include José Raul Bernardo’s *Wise Women of Havana* (2002), the detective fiction of Carolina García-Aguilera, and Ana Menéndez’s *Loving Che* (2003).

Dominican Americans also began as an exile community, with a select group fleeing the island to escape the Trujillo dictatorship in the 1950s and 1960s. Over time, Dominicans immigrated to the U.S. more for economic than political reasons, although the two are intertwined. Julia Alvarez first put the Dominican American experience on the national literary map with *How the García Girls Lost Their Accents* (1991), which melds themes of political exile with the problems of cultural displacement arising from migration. *In the Time of the Butterflies* (1994), written in the tradition of the Latin American dictator novel, fictionalizes the lives of the Mirabal sisters, who were murdered for

opposing the Trujillo regime. Like other dictator novels, *Butterflies* meditates on the horror of absolute power. The terrors of the Trujillo regime also inform Loida Maritsa Pérez’s *Geographies of Home* (1999) and Marisela Rizik’s *Of Forgotten Times* (2003). The multigenerational saga is a significant subcategory of the Dominican American novel, and includes Alvarez’s magisterial *In the Name of Salome* (2000) and Nelly Rosario’s *Song of the Water Saints* (2002). Junot Díaz’s Pulitzer Prize-winning *The Brief Wondrous Life of Oscar Wao* (2007) is composed of a dizzying array of footnotes, high and low cultural references, and a vibrant street “Spanglish,” all of which combine to tell the coming-of-age story of Oscar, “the ghetto nerd.” The novel meditates on Dominican American identity, masculinity, and the horrors of authoritarian power.

THE CENTRAL AMERICAN NOVEL IN THE U.S.

Since the 1980s, Central Americans have comprised a significant segment of the Latina/o population, with many having fled their homelands to escape right-wing military dictatorships funded by the U.S. throughout the isthmus. While more recent immigrants have left their countries for economic reasons (although these are difficult to disentangle from political circumstances), the literature that Latinas/os of Central American descent have produced often focuses on themes of war, displacement, and cultural trauma. Mario Bencastro’s first novel, *Disparo en la catedral* (1989, *A Shot in the Cathedral*), focuses on the trauma of the civil war in El Salvador (1980–92). The two novels that followed, *Odisea del norte* (1999, *Odyssey to the North*) and *Viaje a la tierra del abuelo* (2004, *A Promise to Keep*), depict more traditionally “Latino” themes as

they concentrate on the Central American diaspora in the U.S. and its members' struggles to forge identities in their new homelands without losing touch with the homeland. Guatemalan American Francisco Goldman's novels have received wide acclaim, especially *The Long Night of White Chickens* (1992) and *The Ordinary Seaman* (1997). The latter narrative follows a group of inexperienced Central American sailors who are contracted by an intermediary agent in Nicaragua to work on a ship that will set sail from New York. The men dream of making enough money as sailors to return to their war-torn homelands and make better lives for themselves, but instead they find that they are caught in a nightmare, working on a dilapidated wreck of a ship that will never move. Goldman explores a number of compelling themes in his rich and unique novel, including the exploitation of Third-World labor and the possibility of a transnational solidarity among Latinas/os of all backgrounds. Héctor Tobar's *The Tattooed Soldier* (1998) tells the story of a Guatemalan refugee who flees to Los Angeles only to encounter the death-squad soldier who murdered his wife during the civil war. By setting the confrontation between these two men amid the 1992 Los Angeles riots, Tobar suggests connections between the city's powerless underclass and the Guatemalans who became the victims and pawns of war. Other writers of note include Gioconda Belli, Sandra Benítez, and Marcos McPeck Villatoro.

SEE ALSO: Modernism, National Literature.

BIBLIOGRAPHY

- Borland, I.A. (1998), *Cuban-American Literature of Exile*.
- Calderón, H. and J.D. Saldívar, eds. (1991), *Criticism in the Borderlands*.
- Castillo, D.A. and M.S.T. Córdoba (2002), *Border Women*.
- González, L.S. (2001), *Boricua Literature*.
- Luis, W. (1997), *Dance Between Two Cultures*.
- McGill, L.D. (2005), *Constructing Black Selves*.
- Ortiz, R.L. (2007), *Cultural Erotics in Cuban America*.
- Rebolledo, T.D. (1995), *Women Singing in the Snow*.
- Rodríguez, A.P. (2009), *Dividing the Isthmus*.
- Saldívar, R. (1990), *Chicano Narrative*.

Libel *see* Copyright / Libel

Libertine Novel *see* France (18th Century)

Libraries

ALISTAIR BLACK

Just as forerunners of the novel can be found in Antiquity, long before the genre became rooted in society in the eighteenth century, the institution of the library can also be traced back thousands of years prior to the appearance of popular libraries around the eighteenth century. For most of their history, the aims and roles of libraries have been related to the formal institutions of state, church, trade, and education. The content of libraries throughout most of their history has been scholarly, religious, civic, and practical. From the eighteenth century on, however, a new type of library, the social or people's library, began to emerge. While not jettisoning the instructional dimension, nor forgetting that poetry and plays as well as scholarly writings had long offered pleasure as well as entertainment to their readers, the aims of the social library included a greater prominence of recreation and diversion, of which the novel was the prime vehicle.

As literacy improved (by the early nineteenth century around half the population of Protestant northern Europe could read) and the book trade expanded, the number of libraries of all kinds grew. It is not within the

scope of this entry to examine the history of the library in all its manifestations. Instead, attention is concentrated on the past development of the social library. This is because, notwithstanding the existence of works of fiction in other types of library—from research, university, and learned and professional society libraries, to national, museum and ecclesiastical libraries—it is the histories of the commercial, subscription, public, and personal library that intersect most strongly with that of the novel. Mention is also made in the entry of what we can term “hidden libraries,” social libraries of an ephemeral nature that were of marginal importance in an organization, social institution, or larger human activity, but which are nonetheless an extremely interesting historical phenomenon. Although the focus of this brief survey is on Britain, supplemented by a sprinkling of evidence drawn from the American experience, it should be noted that many of the developments described and analyzed were also to be found, if not always contemporaneously, in those countries around the globe that established systems of library provision.

SUBSCRIPTION LIBRARIES

In the late seventeenth and eighteenth centuries, as towns and cities grew (London’s population, for example, increased from 600,000 in 1700 to over a million in 1800, making it the largest city in the world), social intercourse intensified. Citizens became increasingly “clubbable.” The emergence of associationalism and communities of shared interest fed, among other things, into the establishment of subscription libraries. These were institutions run for and by their members. Driven by a voluntarist spirit, they were established on a membership basis requiring an annual fee and/or a proprietary share. The fellowship that

characterized subscription libraries was as important as the access they provided to literature. They were agencies of civilized urban sociability, and although in places they fostered a shared political identity, the main motive for using them was generally less ideological than the desire for participation and cultural enrichment. In keeping with the beneficial social friction and increasing openness and sense of progress that characterized the Enlightenment, subscription libraries were places to be seen. They corresponded with the credentials of the pure public-sphere institution theorized by the German sociologist Jürgen Habermas in his *Structural Transformation of the Public Sphere: An Inquiry into a Category of Bourgeois Society* (1989): rational, open, democratic, independent of the state and of commercial interest, and supportive of the free expression of ideas and of scientific and intellectual discovery.

The forerunner of the subscription library was the book club, where people would pool literary resources and exchange reading on a mutual basis. It was a short step from here to the realization of this practice in a physical setting: a library. During the course of the eighteenth century some three thousand subscription libraries and book clubs were founded in Britain, and foundations continued into the nineteenth century. Some of these early subscription libraries still exist today, such as the Leeds Library (established 1768) and the London Library (established 1841), perhaps the most famous of all the libraries of this type. The number of debating, literary, and scientific institutions grew rapidly from the late seventeenth century and many—such as the Royal Society (est. 1660), the Geological Society (est. 1807), and the Manchester Literary and Philosophical Society (est. 1781)—developed libraries for their subscribing members as an aspect of their cultural provision.

The early development of subscription libraries in Britain was replicated in America. In 1727 Benjamin Franklin, printer and future signatory of the Declaration of Independence, organized a discussion club, the Philadelphia Junto. To support its activities, he and friends founded the Library Company of Philadelphia in 1731. This was the first subscription library in America and it became the model for numerous subscription library foundations throughout British North America, a great many of them in the states of New England. The Library Company of Philadelphia was established by means of selling shares to provide capital to purchase books. Although open to citizens other than the political elite, the Library acted as the de facto Library of Congress until the capital of the U.S. moved to Washington in 1800. By 1851 the Library contained over sixty thousand volumes. The Redwood Library was established in Newport, Rhode Island, in 1747, and the following year merchants, slave traders, lawyers, clerics, and physicians in Charleston came together to form the Charleston Library Society. Some members of these early subscription libraries were hesitant about the legitimacy of including novels in the library stock, but as time passed, requests for fashionable novels increased, though the appetite for them did not eclipse the pursuit of useful knowledge. When the Savannah Library Society commenced a subscription operation in 1809, novels accounted for 16 percent of the stock. In 1800 a quarter of the books borrowed from the Baltimore Library Company was fiction.

In India a number of subscription-based social libraries were established in the late nineteenth century, including the Calcutta Circulating Library (1787). In the tradition of the libraries set up earlier by the East India Company, these subscription libraries supplied imaginative literature alongside "useful" knowledge. In Singapore, founded as a British trading post in 1819, a propri-

etary library, the Singapore Library, was established in 1844. In 1874 it changed its name to the Raffles Library and continued to provide British expatriates and educated English-speaking local residents with novels as well as commercial and technical sources.

Subscription libraries could be found at all levels of the social scale. In southwest Scotland a library for the gentry opened in Dumfries in 1745, while in the isolated hill villages of Leadhills and Wanlockhead, libraries were set up by local miners in 1741 and 1756, respectively. Libraries run by and for the working classes became more common in the nineteenth century. Such libraries provided material to suit the needs of working-class readers. They also developed rules and regulations (such as evening opening) to match their culture and patterns of work. A number of operatives' libraries were established in Nottingham in the first half of the nineteenth century, often in congenial surroundings above public houses. Libraries were founded in Chartist and People's Halls, although the idea of the Chartist leader William Lovett to have small libraries in hundreds of towns and villages, their collections rotated periodically, was never realized. Libraries were also to be found attached to Owenite Halls of Science, workingmen's institutes and the institutions of the Co-Operative Society. In South Wales in the late nineteenth and early twentieth centuries a large number of libraries were established by miners' institutes.

From the 1820s on, the mechanics' institute movement provided fairly extensive library access to workers who could afford the subscription. By 1850 there were over seven hundred mechanics' institute libraries in existence, with fiction forming an ever-increasing proportion of their stock for an increasingly middle-class membership. Mechanics' institute libraries were dogged by political and religious differences. Many were also divided on the issue of fiction, to

the extent that in some cases this became a major cause of their demise. In 1830 in the Morpeth Mechanics' Institute, Walter Scott's *Waverley* novels were purchased against the wishes of some members, who were to a degree assuaged by the decision to charge an extra penny per volume for lending the titles. As time passed, subscription libraries of all kinds increasingly purchased works of fiction.

In Germany, workers' libraries first appeared in conjunction with the liberal revolution of 1848 and by 1914 there were over 1,100 such libraries, many provided by the Social Democratic Party and the trade unions. The initial purpose of workers' libraries was to provide reading of a social and political nature, but as the decades passed the loan of light fiction began to constitute their major function.

In the twentieth century, as publicly funded libraries ("free municipal," university, national, or government) developed and became more accessible, social libraries relying on independent sources of income inevitably declined. However, in our pluralistic, postmodern or late modern world, where niche cultures have room to flourish, the voluntary social library remains in existence in one form or another. In Britain, for example, the Association of Independent Libraries (AIL) represents around thirty social libraries, many of them subscription libraries dating back to the eighteenth century.

COMMERCIAL LIBRARIES

Other kinds of social libraries were based less on public-sphere values than on commercial interests. Much more numerous than the lump-sum-payment subscription library was its pay-as-you-go counterpart, the commercial library (or commercial *circulating* library, to give it its full title).

The commercial library in Britain was a modern phenomenon, born of a society that was becoming not only more associational and progressive but also more open, relaxed, and "fashion-conscious." Commercial libraries were run in response to market demand and appealed less to the more esoteric, traditional purposes of the preservation of culture and the advance of knowledge. Subscription and commercial libraries were not particularly in competition with each other. To a significant extent, commercial libraries became conduits of fashion, providing the latest, talked-about books. Much of the profit of commercial libraries came, of course, from the lending of books of fiction. It would be wrong, however, to think of commercial libraries as novel-dominated institutions. In the eighteenth century novels rarely accounted for more than 20 percent of the stock. To secure a viable market share, commercial library entrepreneurs often specialized in niche non-fiction areas. With profit rather than established social attitudes acting as their guiding tenet, commercial libraries attracted an entirely new category of library reader: women. In subscription libraries women borrowed by proxy, through husband, father, or brother. In the commercial library setting they were directly empowered.

The eighteenth century saw the beginning of the practice of booksellers charging customers to borrow books for home reading, in addition to allowing them to read books on their premises for a small fee. Commercial libraries were provided by other kinds of retailers too (such as stationers, watchmakers, silversmiths, and dispensers of medicine), and by those who simply had an eye for an emerging market and a new source of profit. Some establishments charged an annual fee in addition to the fee for each loan. A commercial circulating library was set up by Allan Ramsay in

Parliament Square in Edinburgh in 1725 (before this date the only libraries that effectively circulated books were subscription libraries). In London, in 1742, the dissenting clergyman Samuel Fancourt established the Universal Circulating Library. By 1800 some six thousand circulating libraries were in existence. From the late seventeenth century, coffeehouses, inns, and eating houses provided newspapers, magazines, and books for their patrons; for those not drinking or eating, reading privileges could be purchased on an hourly basis. Joseph Fletcher's "Solomon's Temple," which combined a hotel and coffee-room with a circulating library, was opened in Matlock Bath in 1773. By the middle of the nineteenth century it was estimated that there were around two thousand coffee houses nationwide, and five hundred of these had a library. At this time, Isaac Potter's coffee house in London's Long Acre had a library of over two thousand volumes.

The earliest known circulating library in the U.S. was set up by Annapolis bookseller William Rind in 1760. The Bradford Circulating Library, Philadelphia was established in 1769. Nearly two-thirds of its three-hundred-volume stock was fiction, compared with just 4 percent in the Library Company of Philadelphia. Half of the Bradford Library's clientele were women. After 1800, circulating libraries operated by bookstores, coffeehouses, millinery shops, and other retail outlets began to provide reading rooms on site. By the 1850s there were over a thousand commercial circulating libraries in New England alone. From the 1830s the library of the Phoenix Society of New York offered black Americans, excluded from other libraries, an opportunity to defend their racial consciousness and develop a cultured social status. In Brooklyn alone, over thirty commercial libraries were founded between 1809 and 1896.

In nineteenth-century Britain, commercial libraries became so numerous and some so large that they in isolation supported the activities of some authors and publishers. Large proportions of a book's print run, sometimes well over half, might be bought up by the commercial library sector. Enterprises like Mudie's Library and W. H. Smith's were highly successful in tapping into the opportunities offered by an expanding economy and a deepening commercial society. They also offered an alternative to what some saw as the unrespectable and unhygienic service offered by public libraries. Mudie's—London and Britain's most famous circulating library—was founded by Charles Mudie in 1842 as part of a shop that purveyed stationery, books, and newspapers. Moving from Bloomsbury to Oxford Street in the 1850s, in 1860 it occupied a spacious, purpose-built, neoclassical building that was more conducive to the large-scale business it was becoming. Mudie's lending branch, the London Book Society, received thousands of orders each day, dispatched by van to within a twenty-mile radius. Beyond twenty miles the work was undertaken by the library's Country Department, which was a misnomer as it served customers not only in Europe but across the Empire. Book clubs and other libraries were also served by Mudie's. Individuals paid a minimum two-guinea (i.e., forty-two-shilling) subscription, and although this amounted to approximately the weekly wage of a teacher in the late nineteenth century, it was an attractive outlay relative to the price of a first-edition three-volume novel (around thirty shillings) or even a reprint (often priced at around six shillings). Fiction represented a large and increasing proportion of the books lent by Mudie's. As books that people generally did not need or want to own for future reference, novels were perfectly suited to the commercial library format. In 1857, 25 percent of

titles in the Mudie's catalogue were fiction; by 1931 that figure was 33 percent. Issues of fiction were higher than these percentages, since many fiction titles were made up of three volumes, although nonfiction borrowing was always in the ascendancy. Mudie's boasted that the fiction it stocked was tasteful and morally wholesome.

The interwar years witnessed the appearance of a truly popular commercial venture in the field of libraries: the "twopenny library," the progenitor of the video and DVD lending shops of recent years. Twopenny libraries lent books to readers, virtually without discrimination, at a rate of twopence or threepence per volume. The staple diet was escapist, popular fiction, and like the earliest commercial libraries, they were to be found in a wide variety of shops, from grocers and general stores, to tobacconists and confectioners, as well as in premises devoted solely to the business in hand. Frowned upon as culturally worthless or even damaging by some librarians, yet a convenient means of reducing the public library's responsibilities in the area of popular culture, others saw them as a legitimate response to public demand and a model for a more customer-driven public library of the future.

As the twentieth century progressed and as publicly funded libraries expanded, commercial library ventures found their profits squeezed, forcing them to withdraw from the market. The commercial library went into steep decline. Mudie's stopped trading in 1937. After the war, the twopenny library virtually disappeared. The W. H. Smith Library and the Boots Booklovers' Library ceased operations in 1961 and 1966, respectively.

PUBLIC LIBRARIES

In Britain, the appearance and growth of "free" local libraries funded from local tax-

ation, which for over a century and a half we have referred to as public libraries, resulted from the Public Libraries Act (1850). Public libraries were seen as helpmates to the new industrial capitalist society, contributing to a more educated, self-reliant, and disciplined workforce and attracting workers away from irrational recreation and wasteful lifestyles. They also served to boost the civilized image of towns and cities, indirectly attracting investment to, and retaining skilled and professional workers in, local economies. Interest in public libraries by its providers has noticeably quickened at times of social crisis.

Being permissive in nature and limited in other ways—local authorities were not required to support public libraries and the amount of money they were allowed to spend on them was capped at a low level—the Act did not result in a flood of libraries being established overnight. However, in the first two decades after the Act, many of the country's largest provincial towns, including Manchester and Liverpool, adopted the legislation and opened public libraries. The first public library in the U.S. is regarded to be that opened at Peterborough, New Hampshire in 1833. The first major town to open a public library was Boston, in 1854. The New York Free Circulating Library was established in 1879, and received municipal funding in 1886. The magnificent and still operating New York Public Library was opened in 1911. Before WWI, thousands of libraries appeared on "Main Street, USA," nearly 1,700 of them with the assistance of the philanthropic steel magnate Andrew Carnegie, who acted as the benefactor of over 350 public libraries in Britain also (although both in the U.S. and Britain there was opposition in places to Carnegie's money, prompted by his aggressive attitude to labor unionization and the poor conditions that many of his workers had endured in his steel mills). By the second half of the

nineteenth century, reading had become a necessity of life in America, critical to the country's rapid westward and commercial expansion. In Osage, Iowa reading was furthered by the establishment in 1871 of the Osage Library Association, a fee-based library which in 1876 became a public library whose main clientele was female and whose book stock was over 40 percent fiction. The library served as an important means of strengthening the identities and value systems of the wide variety of religious groupings that had resulted from large waves of immigration over the recent decades. Middle-class Protestants in Osage had a predilection for novels that reinforced dominant norms of power and gender.

In Britain (as well as in the U.S.) users were drawn from a wide variety of social classes and occupational groups. Working-class readers predominated, but the middle classes were also present on library membership rolls in large numbers—in a proportion greater than their representation as a social group in the population as a whole, moreover. A variety of services was developed. By providing fine collections of reference books in reverential surroundings, providers endeavored to ape the Reading Room of the British Museum in London. The provision of newspapers and journals in newsrooms proved extremely popular. Lending libraries lent mostly works of fiction, leading to opposition from those objecting to recreation funded from local taxation. From their inception, public libraries promoted themselves as sources of both useful knowledge and rational recreation. They sought to meet the educational and technical needs of an increasingly commercial and politically informed society. However, they also made available the “diversionary,” imaginative literature required to help counteract the social stress, alienation, and dehumanization associated with an industrialized, urban, and increas-

ingly “rushed” society. Public libraries collaborated with the National Home Reading Union, established in 1889 to encourage systematic programs of improving reading. They accommodated the Union's reading circles or ran their own on the Union's model.

The “Fiction Question” dominated public library discussions for many years around the turn of the twentieth century. Tapping into the longstanding discourse on the detrimental effects of “low” fiction, librarians argued that it overromanticized and sensationalized life. Low fiction was believed to raise individuals' expectations and be productive of unrealistic social attitudes, whereas better fiction portrayed characters honestly, avoided distorted perspectives on life, and improved discipline. Some objected to taxpayers' money being spent on fiction per se: “There is all the difference between instruction and amusement . . . but there is no difference between amusement in the form of novel-reading at the public expense and billiards and shove-ha'penny,” shouted a correspondent to the *Islington Daily Gazette* (8 Nov. 1906). Others accepted the novel as a legitimate aspect of public library provision but noted the relative value of the various forms of fiction. Thus, in 1895, at the foundation stone-laying ceremony of the Everton Public Library, Liverpool, a local councilor named Austin Taylor proclaimed that if citizens desired intellectual recreation, they could gain something “by the study of that interesting product of modern days, the novel, which he might perhaps classify in a fourfold division, as the novel metaphysical, the novel grotesque, the novel with a purpose, and the novel with a yellow back” (qtd. in Cowell, 158). Many library supporters welcomed “light” fiction as a necessary stage in reading development: “there is no use in providing a step ladder for the aspiring to climb, if you make the first step of the

ladder too high,” Carnegie was told when opening the Toxteth Public Library, Liverpool in 1902 (qtd. in Cowell, 180).

From the mid-1890s, British lending libraries became even more popular, as many began to be converted from closed-access facilities into places where people could freely browse the shelves and choose books without requesting them from library staff. From the 1880s, children’s libraries began to appear. Some larger libraries provided reading materials for the blind. A major step forward came with the Public Libraries Act of 1919. This abolished the restriction on the amount of local tax that could be raised to fund libraries—a restriction that had previously restrained library provision. The 1919 Act also empowered county authorities to provide a library service, thereby bringing free books to rural areas. Freed from legislative restrictions on expenditure, though spending was held in check by the generally poor economic conditions faced by the nation, many urban areas between the wars developed fairly sophisticated services, including commercial and technical libraries for progress in business and technical education. Libraries at this time also provided a haven for the masses of unemployed that the economic depression of the 1930s created. In WWI, despite shortages of books and the destruction of many library premises, public libraries experienced a boom in demand. Drawing on the increased public expenditure that characterized the growth of the welfare state, public libraries, especially after 1960, went from strength to strength. The Public Libraries Act of 1964 made it compulsory for local authorities to provide an efficient and comprehensive library service. In the late twentieth century the traditional role of the public library was supplemented (some might say superseded) by increased investment in new formats and strategies. In the 1970s and 1980s, librarians developed an

innovative model of service known as community librarianship, while new forms of communication—video, CDs, and later DVDs and the internet—began to appear across the public library network, reigniting anxieties concerning the cultural worth of the public library that had previously been expressed over the issue of fiction.

The growth of public libraries in countries other than in Northern Europe and the U.S. was very much a twentieth-century phenomenon. Public libraries styled on the European model appeared in China from 1905 thanks to the efforts of the American missionary Mary Elizabeth Wood (1861–1931). Their nature changed with the Communist Revolution of 1949. Nonetheless they grew strongly until Mao Zedong’s (1893–1976) ten-year cultural revolution, commencing in 1966, curtailed their development. In postwar Japan a Public Library Law was enacted in 1950. In Spain a patchwork of libraries were freely open to the public according to various criteria developed in the nineteenth century. However, free libraries in small towns and villages did not begin to appear until the early 1930s when the government began to donate small collections, including novels, to private institutions to promote literacy. By the outbreak of the Civil War in 1936 there were about two hundred such municipal libraries in existence.

HIDDEN LIBRARIES

Unlike public libraries, a number of the libraries discussed above—one might highlight, in the British context, twopenny, marginal subscription, and coffeehouse libraries in this regard—have a relatively low visibility in the historical record. Indeed, one might consider them to be libraries that are hidden from history. Under the broad miscellaneous description of hidden

libraries we might list those in prisoner-of-war camps, army installations, hotels, bed-and-breakfast establishments, laundrettes, alternative communities, holiday camps, community centers, pubs, restaurants, accommodation and facilities for servants and workers, lighthouses and seamen's establishments, prisons, and asylums.

Further examples of this type of library are those associated with various types of modern transport: airliners, tramcars, railways, buses, and ships. Described in 1938 as "the most unusual lending library in the country," the collection of 150 books housed in the waiting-room of Garsdale Station, on the main line between Leeds and Carlisle, served mainly railway staff, the station master acting as *ex-officio* librarian ("An Unusual Library," *Yorkshire Observer*, 20 July 1938). Apparently bequeathed to the station in the 1890s by two elderly women, the library was said to contain a mixture of Victorian "improving" literature and modern fiction.

In the early nineteenth century the Society for the Promotion of Christian Knowledge and the Religious Tract Society supplied schools (including Sunday schools), chapels, and churches, free of charge, with small collections of books of around a hundred volumes, including novels of a moralizing kind. At about the same time, Sunday school libraries began to appear in the U.S., often stocked with moralizing fiction supplied by agencies like the American Tract Society.

DOMESTIC AND PERSONAL LIBRARIES

Another kind of hidden library has been the domestic, or personal library. The personal library is virtually as old as the institution of the library itself. Aristotle, Cicero, and Plutarch each had a personal collection of texts.

It is a moot question, of course, as to whether personal collections of books and other reading material constitute a library. It might be argued that the use of the term "library" can only be justified in this context if the collection has a life beyond the individual collector. However, even if this strict criterion is applied, it is to be observed that most personal collections do in fact have, and have had, an existence linked to people other than their immediate owner. Contributions to personal collections are made by family and friends, who might also have access to the assembled library. In Cambridge, Isaac Newton (1642–1727) assembled a large library of over two thousand volumes, but much of his work made use not only of the university and college libraries, but also the library of his close friend Isaac Barrow (1630–77), Master of Trinity College.

In the eighteenth century many of the large personal libraries would have been scholarly collections in specialist subject areas, often with a high classical content, but even these would have included some general and imaginative reading. Perhaps the most famous personal library of all was that built up by a succession of British monarchs, a great proportion of which was donated to the nation in 1757 by George II (1683–1760) to form the foundation of the book collection of the British Museum, later absorbed into the British Library. In seventeenth-century colonial America typical private collections rarely contained more than a hundred volumes, but several large collections were amassed, including that of John Winthrop the Younger (1606–76), Governor of Connecticut, whose library grew to over a thousand volumes.

The term *bibliomania* has been used to describe the growth of domestic libraries in the late eighteenth and early nineteenth centuries. With the marked increase in middle-class incomes in the second half of the

eighteenth century arising from the industrial and commercial revolution of the time, books became a form of social emulative spending and cultural assertiveness. Whereas the domestic library was initially to be found in the homes of the aristocracy, gentry, clergy, and lay professions, in the nineteenth century the manufacturing middle class began to decorate their residences with large collections. Departing from the tradition of the domestic library as sanctuary, library rooms began to function as public spaces, in the form of drawing and reception rooms, for example. These spaces were signifiers of refined taste, as much for show as for intellectual use. A great house without a library was likened to a castle without an armory or a warship without a magazine.

Increasing incomes lower down the social scale meant that small collections could also be afforded in respectable working-class and lower-middle-class homes. This was a trend that continued into the twentieth century. However, the amount of money that could be spent on personal collections was always modest and the success of the public library as an institution in any case made this unnecessary. Emphasizing the value of the public library in the years of austerity following WWII, Southampton Councilor A. G. Stevenson observed: "In these days when rich men are few and we mostly dwell in small houses with small rooms and books are much more expensive than they used to be, few of us have either the money to buy, or room to store, an adequate private library. Therefore, the public library assumes even greater importance" (*Southampton Daily Echo*, 23 Nov. 1955).

In the late twentieth century the decline in the cost of books relative to increasing incomes led to a renaissance of the domestic library. Research on the subject of reading undertaken by the Mass Observation Archive, University of Sussex, in 1988 (Directive on Regular Pastimes) revealed that

personal libraries were a near-ubiquitous aspect of modern cultural life, especially among the middle classes. "Our house is choked full of reading matter," recorded one of the Archive's correspondents, who went on to explain: "There seems to be a kind of Parkinson's Law about it: if there's a space somehow it'll get filled by a book." Correspondents described in great detail the contents of their home collections. They also described where books were kept in the house, and in some cases this was virtually in every room: "Our books are in book cases all over the house. They do have order, but only we know this," wrote one respondent. One woman had a bookcase containing cookery books in her dining room, a bookcase full of nonfiction in her living room, and a drawer full of paperback novels in her bedroom, which she lent to other family members. Contrary to the stereotypical image of seriousness attached to the teaching profession, a teacher recorded that she kept a large library that included "bodice rippers bought cheaply, but not [books published by] Mills and Boon, more historical ones."

LIBRARIES IN NOVELS

Finally, it is worth reflecting on the fact that novels have not only contributed to the development of libraries but have also served as vehicles for imagining and publicizing them: i.e., libraries in novels, as opposed to novels in libraries. The setting of the library has provided authors with interesting contexts for the development of their plots and characters. In Umberto Eco's *The Name of the Rose* (1983), a monastic library serves as the backdrop to a complicated murder mystery, while, less famously, in J. Fothergill's *Probation* (1879), the chief protagonist, a young factory worker and self-improver, on one of his frequent visits to the public library, dramatically confronts

the gloved and perfumed son of a local Tory manufacturer to protect the sensibilities of a young woman struggling to avoid the dandy's advances. In Kingsley Amis's *That Uncertain Feeling* (1955) the "very ancient and boring" (12) ruin that is the town's public library is at the center of the story of one librarian's efforts to break free from an existence of drudgery and mediocrity, the dominant but incorrect popular view of the librarian's lot in life.

SEE ALSO: Publishing, Reprints, Reviewing, Serialization.

BIBLIOGRAPHY

- Allan, D. (2008), *Nation of Readers*.
- Augst, T. and K. Carpenter, eds. (2007), *Institutions of Reading*.
- Battles, M. (2003), *Library*.
- Black, A. (1996), *New History of the English Public Library*.
- Black, A. (2000), *Public Library in Britain, 1914–2000*.
- Black, A. and P. Hoare, eds. (2006), *Cambridge History of Libraries in Britain and Ireland*, vol. 3, 1850–2000.
- Cowell, P. (1903), *Liverpool Public Libraries*.
- Davis, D. and A. Wertheimer, eds. (2000), *Library History Research in America*.
- Harris, M.H. (1999), *History of Libraries in the Western World*, 4th ed.
- Jones, T. (1997), *Carnegie Libraries across America*.
- Kaufman, P. (1969), *Libraries and Their Users*.
- Kelly, T. (1966), *Early Public Libraries*.
- Kelly, T. (1977), *History of Public Libraries in Great Britain, 1845–1975*.
- Mandelbrote, G. and K. Manley, eds. (2006), *Cambridge History of Libraries in Britain and Ireland*, vol. 2: 1640–1850.
- Pawley, C. (2001), *Reading on the Middle Border*.
- Rose, J. (2001), *Intellectual Life of the British Working Classes*.
- Snape, R. (1995), *Leisure and the Rise of the Public Library*.
- Stam, D. (2001), *International Dictionary of Library Histories*.

Wiegand, W.A. and D.G. Davis, eds. (1994), *Encyclopedia of Library History*.

Life Writing

KATE DOUGLAS

"Life writing" is an inclusive term used to describe the multitude of ways people construct "true" stories about their lives and/or the lives of others. The term is often used interchangeably with "life narrative," "autobiography," "auto/biography," "auto-biographical fiction," "biography," "memoir," and "first-person media." There are distinct differences between these alternative terms—particularly as they represent diverse subgenres and movements within what has been historically known as "autobiography." Though the term "life writing" has been in use since the eighteenth century, it has gained currency in recent times as an umbrella term to represent all forms of nonfictional life-story telling (Jolly; Smith and Watson, 2001). Life writing attempts to circumvent problems associated with the term autobiography—which has historically been associated with an exclusive genre of writing—dominated by portraits of "great men." Alternative terms such as "memoir" attempted to broaden and reshape the field—to promote life stories that had been excluded by the limits of autobiography. Life writing proposes to broaden the parameters of life and self-representation even further, to promote a greater inclusiveness, and to provide a site for the cross-examination of an expansive set of life-story texts. Life writing considers the multitude of ways that people narrate their lives and the lives of others, in light of the texts and technologies people use to record these lives. Thus the term "life writing" has come to encompass texts other than written texts—oral testimony, artifacts, visual texts (photography, film, on-line media), and so on (Jolly, ix).

A BRIEF HISTORY OF LIFE WRITING

People have been engaged in life writing—in telling stories about their lives—for centuries. This extends back to, and possibly even before the Greeks and Romans, and beyond Western culture (Jolly; Smith and Watson, 2001). Sidonie Smith and Julia Watson outline some of the oral traditions in which life narrative played a key role, dating back thousands of years—various African, Australian indigenous, Chinese and Japanese, Indian, Islamic-Arabic, and Native American cultures (2001). Within Western contexts, some of the earliest forms of life writing include “oration”—an oral plea for a cause (e.g., Julius Caesar); “apologia”—a written defense of one’s opinions or actions (Socrates); “confession”—traditionally addressed to God and/or a human reader, in which the speaker seeks absolution from the listener (St. Augustine); and the “life” (Teresa of Ávila). The influence of each of these early forms can be traced through life writing that followed—particularly as life writing has continued to provide mechanisms for the construction and justification of experiences and identities.

Biography, for instance, flourished from the seventeenth century, experiencing its golden age in the late eighteenth century. Key proponents include Samuel Johnson (1779–1781, *Lives of the Poets*), Jean-Jacques Rousseau (1782, 1789, *Les Confessions; The Confessions*) and Thomas Carlyle (1841, *On Heroes, Hero-Worship, and the Heroic in History*). Lytton Strachey (1918, *Eminent Victorians*; 1921, *Queen Victoria*; 1928, *Elizabeth and Essex*) is thought to have revolutionized the form, asserting the artful “constructedness” of biography. According to Strachey, the biographer’s craft and choice were important components of writing biographically. The biographer enters the text

through these choices, searching for the intimate (sometimes unflattering) inner lives of the subjects.

Margaretta Jolly contends that alongside biography, “autobiography, diaries, and personal letters have been widespread since the eighteenth century” (ix). Some notable diarists of the eighteenth and nineteenth centuries include Fanny Burney, Lady Mary Coke (1727–1811), Henry Fielding, Jonathan Swift, Dorothy Wordsworth (1771–1855), George Eliot, and Queen Victoria (1819–1901). Some used the diary to supplement and document their fictional writing; others used the diary to record travels and details of everyday life. William Wordsworth (1770–1850) experimented with life writing in poetic form in *The Prelude* (1799, 1805, 1850). Autobiographical poetry has been taken up by countless poets since—including Walt Whitman (1819–92), Robert Frost (1874–1963), and Sylvia Plath.

Whatever the form, a common preoccupation of life writing is the development of the self (whether from childhood to adulthood, or toward self-awareness; see *BILDUNGSROMAN*). Life writing has evolved through the ages, reflecting cultural shifts in the limits of self-disclosure and the ethics of writing lives.

LIFE WRITING: RECENT DEVELOPMENTS

Since the 1990s, life writing has become one of the most talked-about literary genres and has been a boom commercial product (see Eakin; Gilmore; Smith and Watson, 1998, 2001). Many scholars, media commentators, and book-trade practitioners agree that the late twentieth and early-twenty-first centuries have been the “first-person era.” Review publications have abounded with discussions of the significance of these

life-writing trends, focusing on what it implies about its readerships. The genre has become a site where a range of literary-cultural politics are fought out, raising an array of new ideological concerns (see IDEOLOGY), particularly in relation to self-disclosure, memory, and the ethics of representation.

Life-writing scholarship has grown exponentially; journals, books, and conferences have flourished, and university courses have sprung up internationally, alongside community workshops on life writing. Life-writing scholarship during this period has been preoccupied with autobiographical writing and social justice, trauma, and testimony, the rights and responsibilities of representing oneself and others, subjectivity, authority, and ethics (see Couser; Eakin; Egan; Gilmore; Smith and Watson, 1998, 2001; Whitlock).

Elements of life writing can be found within almost all other literary forms. However, in recent times a number of subgenres have emerged strongly within life writing: from trauma narratives and inspirational self-help texts, through to travel writing, GRAPHIC novels, and social networking technologies, to name just a few notable trends.

Perhaps the most infamous publishing trend of the 1990s was the autobiography of childhood—a piece of autobiographical writing concerned with the narration of childhood life experiences. Autobiographers such as Mary Karr (1995, *The Liars' Club*), Frank McCourt (1996, *Angela's Ashes*), and James McBride (1996, *The Color of Water*) burst on to the American literary scene in the mid-1990s, paving the way for a plethora of similarly styled texts to follow. These autobiographies were distinctive for their depiction of traumatic childhoods characterized by abuse, poverty, discrimination, and identity struggles.

Trauma and testimony have become dominant movements in contemporary life

writing (Felman and Laub; Gilmore). Consider the plethora of individual narratives testifying to abuse within the family; controversial personal historians such as Salam Pax (2003, *The Baghdad Blog*); other memoirs stemming from “the war on terror” (Whitlock); and the boy soldier from Sierra Leone, Ishmael Beah (2007, *A Long Way Gone*). Personal narratives of pain and suffering have been the cornerstone of life narrative throughout the 1990s and early 2000s. These texts provide a human link (for readers) to access and reflect upon broader social and political events.

Directly linked to trauma and testimony is the “self-help (life) narrative.” In these, everyday people tell stories of recovery from addiction and dependency. These books are commonly formulaic—the fall, the road to recovery, and the final transformation into a model citizen ready to share his or her story with others (Linde; Smith and Watson, 1969). Notorious for challenging and extending the limits of self-disclosure, some well-known self-help life-writing texts are Marya Hornbacher's *Wasted: A Memoir of Anorexia and Bulimia* (1998), Susanna Kaysen's *Girl, Interrupted* (1993), Elizabeth Wurtzel's *Prozac Nation* (1994), and Elizabeth Gilbert's *Eat, Pray, Love: One Woman's Search for Everything Across Italy, India and Indonesia* (2006), a hybrid inspirational travel-writing narrative.

Travel writing is a mode of life writing in which writers blend autobiographical stories of places, lives, and self. Novels, guidebooks, magazine and newspaper articles, and websites are some of the different ways in which travel writing reaches readerships. The “personal essay” is another mode of life writing gaining momentum. Dating back to Michel de Montaigne (1533–92), the contemporary personal essay is most likely found in newspapers and magazines and works as a type of opinion piece—an

opportunity for the author to engage with topical cultural or political issues via their own personal experiences.

The graphic novel has provided another mechanism for life writing, with the emergence of works such as Harvey Pekar's *American Splendor* (1976–93), Art Spiegelman's *Maus* (1986–91), and Marjane Satrapi's *Persepolis* (2003). The use of the graphic novel/comic form to tell stories about everyday life demonstrates the pervasiveness of life stories, their applicability to diverse contexts, and the broad ranging readerships for life stories.

The advent of the internet and other new media forms such as digital photography, film, and sound technologies has created a wealth of new tools for the creation and dissemination of life writing texts. "Web 2.0" is a term used to encompass the myriad ways in which the world wide web has encouraged creativity and collaboration for everyday people via the networking tools it offers. For example, "blogs"—websites or (more often) on-line diaries provide a mechanism for "bloggers" to self-publish stories of their life and/or offer social commentary in the form of written words, audio or visual entries, artwork, etc. Social networking sites such as MySpace and Facebook offer unprecedented opportunities for everyday people to become life writers—to post written and visual information about themselves, friends, and families to a potentially limitless audience.

LIFE WRITING AS LITERATURE

Despite the popularity of these forms, life writing occupies an uneasy and hotly contested space in contemporary literature. There are many who challenge the literary value of life writing—a consequence of the sensationalism and controversy that has accompanied many recent life-writing texts. For example, a number of debates have

emerged consistently in theoretical discussions of life writing: the "hoax" or fake memoir (witness the Helen Demidenko, James Frey, Norma Khouri, and Rigoberta Menchu controversies); the ethics of life writing—what rights and responsibilities come into play when telling "true" stories about others? (Consider the case of Augusten Burroughs, whose publisher was sued by his foster family after their unflattering representation in Burroughs's 2002 autobiography *Running with Scissors*). MEMORY controversies have also surrounded life writing—the desire of critics and readers for autobiographers to authenticate their memories through autobiography. Ishmael Beah's story of his time as a child soldier in the government army during the civil war in Sierra Leone was challenged by the *Australian* newspaper, which disputed the veracity of some of the dates presented by Beah in his autobiography, and in doing so, raised more general questions about the credibility of the book.

Such scrutiny of life writing is highly problematic on many levels. It fails to recognize the long-held belief (within life writing genres) of the constructedness of all life writing. There is no such thing as pure life writing—life writing that holds a mirror up to a person's life and reflects back the events as they happened. There is an obvious difference between organic memory loss and/or traumatic memory loss and the deliberate and strategic imposture of authors like Demidenko and Khouri. Criticizing an autobiography such as Beah's also fails to consider the impact that trauma might have had upon his memory and his ability to tell his story faithfully.

Fiction and nonfictional forms of writing share a long and mutually influential history. For example, autobiographical fiction, fictional auto/biography, or the semiautobiographical novel are terms that have been used to describe texts which would seem to

straddle, whether deliberately or due to their reception, fiction and nonfiction. These texts are often realist novels that draw on some of the traditions of life writing to advance the story in some way. In the eighteenth century Daniel Defoe's *Robinson Crusoe* (1719–22) and Laurence Sterne's *Sentimental Journey* (1768) could each be described as autobiographical fictions. In the nineteenth century, many novels that used an intimate first-person narrator were presented as autobiographical—Charlotte Brontë's *Jane Eyre* (1847) and Charles Dickens's *David Copperfield* (1850). This tradition continued into the twentieth century with novels like James Joyce's *A Portrait of the Artist as a Young Man* (1916) and J. D. Salinger's *A Catcher in the Rye* (1951) (see Smith and Watson 1969). And there has been a great amount of autobiographical work (published as fiction) ever since. Contemporary authors working in this mode, blurring the boundaries between fiction and nonfiction, include Jeanette Winterson, J. M. Coetzee, James Frey, Christa Wolf, Tobias Wolff, and Australian authors such as Larissa Behrendt and Drusilla Modjeska. There are a number of reasons why authors may opt to take this literary. For example, the hybrid genre offers the opportunity for authors to construct “true” stories without the pressures of autobiographical accountability; it potentially allows for greater creative license and ambiguity than autobiography; and generally speaking, fiction has retained a level of literary credibility not often afforded to life-writing genres. Further, this form of writing reflects the demands of the literary marketplace. At times when fiction is more marketable, autobiographical works are published as fiction. At times when life writing has been extremely popular (e.g., the late 1990s and 2000s), first-time novelists have been asked if the work could be repackaged as life writing. And positioning

a text ambiguously between the two genres can also make the text more marketable, potentially drawing readerships interested in either genre.

Despite constant suggestions (within literary circles) that life writing is in decline, it continues to flourish in the forms and texts outlined above. Life writing has myriad interdisciplinary extensions—important to literary critics, historians, theologians, anthropologists, sociologists, and psychologists—who are interested in how lives become stories and the implications of telling these stories (Jolly 2006, ix; see ANTHROPOLOGY, PSYCHOLOGICAL). The interdisciplinary breadth of the term life writing suggests that it warrants, indeed deserves, further interrogation with regard to its theoretical limits.

SEE ALSO: Adaptation/Appropriation, Censorship, Decorum/Verisimilitude, Genre Theory, Narrative Perspective, Time.

BIBLIOGRAPHY

- Couser, G.T. (2003), *Vulnerable Subjects*.
 Eakin, P.J. (1999), *How Our Lives Became Stories*.
 Egan, S. (1999), *Mirror Talk*.
 Felman, S. and D. Laub (1992), *Testimony*.
 Gilmore, L. (2001), *Limits of Autobiography*.
 Jolly, M., ed., (2001), *Encyclopedia of Life Writing*.
 Lejeune, P. (1989), *On Autobiography*, ed. P.J. Eakin.
 Linde, C. (1993), *Life Stories*.
 Smith, S. and J. Watson (1996), *Getting a Life*.
 Smith, S. and J. Watson (1998), *Women, Autobiography, Theory*.
 Smith, S. and J. Watson (2001), *Reading Autobiography*.
 Whitlock, G. (2007), *Soft Weapons*.

Linguistics

DAVID HERMAN

The study of language and of literature was once united under the umbrella discipline of

philology, and before that within the classical trivium of grammar, logic, and rhetoric. In the early years of the twentieth century, however, literary research and language studies began to bifurcate into separate, autonomous areas of inquiry—to the detriment, arguably, of scholarship on the novel, among other literary modes and GENRES. In response, analysts working in a variety of traditions have sought to bring about a rapprochement between frameworks for literary and linguistic study, giving rise to important metatheoretical debates. At issue is the extent to which the sciences of language can or should inform research on prose fiction and, conversely, how the distinctive properties of discourse in the novel might bear on any general account of the structures and functions of language itself.

In lieu of explicitly addressing these issues, the Russian formalists used a “theoretical synecdoche, ‘substituting’ language—the material of verbal art—for art itself, and linguistics—the science of language—for literary studies” (P. Steiner, 1984, *Russian Formalism*, 138) (see FORMALISM). Some forty years later, the structuralist narratologists repeated this trope but drew on Ferdinand de Saussure’s (1857–1913) work to lend the synecdoche hermeneutic authority as well as quasi-scientific status (see STRUCTURALISM). Employing linguistic theory as a model, metaphor, or analogy, the early narratologists viewed linguistics as the “pilot-science” on which a systematic account of fictional and other narratives might be based. The goal was thus to identify a narrative code that underlies particular narrative texts, in parallel with the way, for Saussure, *langue* (the system of language) makes it possible to produce and interpret *parole* (individual utterances). By contrast, analysts working in the Anglo-American tradition of stylistic research (Fowler; Leech and Short; Toolan) have sought to apply various types of linguistic

analysis directly to narrative texts, viewing the language of fiction as just that—as a species of language in use. From this perspective, analysis of the discourse of novels can be viewed as part of the broader domain of research on style in language, “style” sometimes being defined as patterns of variation in the language of individual speakers (e.g., shifts from more colloquial to more formal ways of speaking), in contrast with dialectal variation across different groups of speakers (Herman, 1999, 196–98).

Although the exact status and function of linguistic models in the context of literary research continue to be debated, at a more practical level analysts have demonstrated how linguistics affords productive heuristic tools for study of fictional narratives. Revealing the relevance of concepts that postdate Saussurean structuralism and its strict separation of the linguistic system from aspects of language in use, including ideas from discourse analysis, corpus and cognitive linguistics, sociolinguistics, and other domains within contemporary language research, the study of prose fiction has proven to be one of the most fruitful areas of intersection between linguistics and literary theory.

LINGUISTICS AND THE NOVEL: SOME HEURISTIC TOOLS

Frameworks for linguistic inquiry can illuminate key aspects of the structure and interpretation of novels. Linguistic concepts can be used to explore referential dimensions of novelistic discourse, or the process by which novels evoke fictional worlds. Likewise, those worlds are presented via perspectives or vantage points encoded in the patterning of discourse cues, whose format also suggests distinctive “mind-styles” of characters construing the situations and events in a given storyworld. Equally worthy of investigation is the manner in which

characters' utterances, because of their structure and distribution, are saturated with sociointeractional meanings in fictional "scenes of talk."

Deictic shift theory and narrative worldmaking

Whereas structuralist narratologists failed to come to terms with the referential properties of narrative, partly because of the exclusion of the referent in favor of signifier and signified in Saussure's bipartite model of the linguistic sign, a central question for recent narrative theory is how interpreters of stories reconstruct narrative worlds—e.g., how readers of novels use textual cues to build up representations of unfolding storyworlds. Approaches to studying language structures and processes at discourse level (vs. the level of individual words, phrases, or clauses) can illuminate how the patterning of textual cues affords resources for world creation.

One relevant framework is deictic shift theory, which seeks to illuminate the cognitive reorientation required to take up imaginary residence in a storyworld. This theory holds that a "location within the world of the narrative serves as the center from which [sentences with deictic expressions such as 'here' and 'now'] are interpreted" (Segal, 15), and that to access this location readers must shift "from the environmental situation in which the text is encountered, to a locus within a mental model representing the world of the discourse" (ibid.). The theory also suggests that over longer, more sustained experiences of narrative worlds, interpreters may need to make successive adjustments in their position relative to the situations and events being recounted—on pain of misconstruing what is going on in the story, i.e., not reading properly the blueprint for world building included in the narrative's verbal texture. An initial deictic shift

provides access to the storyworld of a novel like Ian McEwan's *On Chesil Beach* (2007), whose first sentence prompts readers to reorient themselves around the deictic center of Florence Ponting's and Edward Mayhew's hotel room on the first night of their honeymoon on Chesil Beach on the Dorset coast in England in mid-July 1962: "They were young, educated, and both virgins on this, their wedding night, and they lived in a time when a conversation about sexual difficulties was plainly impossible" (3). Subsequent discourse cues trigger further shifts, prompting readers to flashback to earlier events that took place in other locations (e.g., "Their wedding, at St. Mary's, Oxford, had gone well" [3]), to move back and forth between Edward's and Florence's vantage points on what is happening, and then, after advancing forward several hours on their disastrous wedding night, to telescope rapidly into the more distant future, some forty years later.

Cognitive linguistics and narrative perspective

COGNITIVE linguists, whose general project is to examine how language structure and use reflect more general cognitive abilities of embodied human minds, have developed ideas that can throw light on the nature and functions of narrative perspective. From a cognitive-linguistic standpoint, perspective can be interpreted as a reflex of the mind or minds conceptualizing scenes represented in narrative texts. This approach affords a unified, systematic treatment of perspective-marking features of novelistic discourse. The basic idea behind what cognitive linguists call "conceptualization" or "construal" is that one and the same situation or event can be linguistically encoded in different ways—ways that reflect different possibilities for mentally construing the world. I can say "Florence delivered the apology," but also "The apology was delivered by Florence,"

with my choice of the active or passive voice corresponding to different conceptualizations of the scene. These construals select a different element of the scene as the focal participant: the passive voice selects Florence; the active voice selects the apology. More generally, cognitive linguists such as Ronald W. Langacker and Leonard Talmy suggest that a range of cognitive abilities support the processes of conceptualization that surface in linguistic choices of this kind. Drawing on this general framework, theorists can explore how fictional narratives may represent scenes that are either statically (synoptically) or dynamically (sequentially) scanned by the perceptual agents construing them. Scenes will have a relatively wide or narrow scope, focal participants and backgrounded elements, and an orientation within a horizontal/vertical dimensional grid. Scenes are also “sighted” from particular temporal and spatial directions, and viewpoints on scenes can be distal, medial, or proximal, i.e., range from being far away to being up close. Each such distance increment, further, may carry a default expectation about the degree of granularity (or level of detail) of the construal. Closer perspectives on scenes generally yield finer-grained (= more granular, more detailed) representations; more distant perspectives generally yield coarser-grained (= less granular, less detailed) representations. Students of the novel can investigate how these parameters for construal are realized textually—and in turn how particular kinds of textual cues guide readers’ efforts to parse novelistic discourse into scenes that are variably structured, paced, and distributed over the course of a given text.

Corpus linguistics and mind-style

Related to issues of perspective is the notion of “mind-style,” a term coined by Fowler to designate the process whereby “[c]umula-

tively, consistent structural options [such as choices in vocabulary and the use of transitive versus intransitive verbs], agreeing in cutting the presented world to one pattern or another, give rise to an impression of a world-view” associated with a character or narrator (quoted in Leech and Short, 151). Fowler based his account in part on Halliday’s analysis of the use of intransitive verbs in William Golding’s novel *The Inheritors* (1955) to suggest the Neanderthal population’s inability to grasp the full complexity of causal processes (1971, “Linguistic Function and Literary Style,” in *Literary Style*, ed. S. Chatman). Subsequent scholarship has further developed the notion of mind-style by examining the range of linguistic features that can be used to connote a worldview or way of construing situations, processes, and events in storyworlds (cf. Shen). Another strategy for extending the concept is to use corpus-linguistic techniques to examine the extent to which the distribution of specific textual features accounts for readers’ intuitions about mind-styles.

Focusing on a large and principled collection of naturally occurring texts as the basis for analysis, corpus-linguistic methods allow researchers to identify and analyze complex “association patterns,” or “the systematic ways in which linguistic features are used in association with other linguistic and non-linguistic features” (Biber, Conrad, and Reppen, 5). In a study that drew on these methods to analyze how verbs of motion (“walk,” “run,” “leave”) were distributed across eight narrative subgenres, including oral Holocaust testimony, slave narratives, ghost stories, and novels, Herman found that nineteenth- and twentieth-century psychological fictions had the lowest overall frequencies for motion-verb usage. Yet these same two genres also featured the two highest rankings for the number of different motion

verbs. In other words, although psychological fictions disprefer motion events as such, favoring states and ongoing processes instead, when they do portray such events narratives that foreground characters' psychological experiences are likely to draw on a richer repertoire of verbs than would other narrative genres. A larger array of verbs is needed to encode how the events are being processed by the minds through whose conscious activity the events are being filtered. More generally, beyond allowing analysts to explore correlations between mind-styles and genres, corpus-linguistic methods have broad relevance for the study of spatial, temporal, and other structures of novelistic discourse.

Discourse analysis, sociolinguistics, and scenes of talk

The fictional representation of discourse practices—i.e., the staging of “scenes of talk” within fictional texts—constitutes another fruitful area for the use of linguistics to investigate novelistic discourse (Herman, 2002, 171–207). On the one hand, ideas from linguistic pragmatics and discourse analysis can be used to examine the interactional profile of utterances embedded within a surrounding frame of narration. Utterances represented in novels typically involve coordinated interchanges between two or more participants, with fictional dialogues fulfilling a metacommunicative role by reflexively commenting on the contexts and processes that affect (and sometimes derail) everyday communicative practices. On the other hand, sociolinguistic theories of language variation provide new ways to explore the verbal texture of represented discourse. The format of represented utterances, including speech styles that partly reflect and partly create social identities, is inextricably linked to participants' sense of self and other, rein-

forcing patterns of cooperation and conflict encoded at other levels of narrative structure as well.

Key questions in this area thus include: how do participants in fictional dialogues seek to convey more than they literally say, and how do novelists represent this process in ways that prompt reflection on the factors that can inhibit communication—e.g., differing background assumptions, contrasting cultural experiences, or asymmetric power relations? And how do novelists use characters' speech styles to explore interconnections between language practices and understandings of gender roles or social status, among other aspects of identity?

SEE ALSO: Cognitive Theory, Speech Act Theory.

BIBLIOGRAPHY

- Biber, D., S. Conrad, and R. Reppen (1998), *Corpus Linguistics*.
- Fowler, R. and D. Herman (2003), “Linguistics and Literature,” in *Oxford International Encyclopedia of Linguistics*, 2nd ed., vol. 2, ed. W. Frawley.
- Herman, D. (2002), *Story Logic*.
- Herman, D. (2005), “Quantitative Methods in Narratology,” in *Narratology beyond Literary Criticism*, ed. J. C. Meister et al.
- Langacker, R.W. (1987), *Foundations of Cognitive Grammar*, vol. 1.
- Leech, G. and M. Short (2007), *Style in Fiction*, 2nd ed.
- Segal, E.M. (1995), “Narrative Comprehension and the Role of Deictic Shift Theory,” in *Deixis in Narrative*, ed. J. F. Duchan, G. A. Bruder, and L. E. Hewitt.
- Shen, D. (2005), “Mind-Style,” in *Routledge Encyclopedia of Narrative Theory*, ed. D. Herman, M. Jahn, and M.-L. Ryan.
- Talmy, L. (2000), *Toward a Cognitive Semantics*, vols. 1 and 2.
- Toolan, M. (2001), *Narrative*, 2nd ed.

Locution *see* Speech Act Theory

Looped Narrative *see* Frame

Low Countries (Europe)

JAAP GOEDEGEBUURE

The modern novel in the Netherlands dates to the end of the eighteenth century. The examples of Samuel Richardson's *Pamela* (1740) and *Clarissa* (1747–48) inspired Betje Wolff and Aagje Deken, two female authors who lived and worked together for more than twenty-five years, to write one EPISTOLARY novel after the other. The first of these, *Historie van mejuffrouw Sara Burgerhart* (1782, *History of Miss Sara Burgerhart*), marked their greatest success and is still considered as the first PSYCHOLOGICAL novel in the Netherlands. We follow the young heroine, an orphan who is given the chance to grow up more or less independently, on her path to knowledge and virtue, taking risks by getting acquainted with a man who appears to be an unscrupulous seducer, quarrelling about religion and morals with bigoted people, but, in the end, being happily married to a righteous husband. It is clear that the authors intended to give a positive example to the young women among their readers, but their novel is still enjoyable because of its wit and its variety of characters, who are portrayed through their letters.

Whereas Wolff and Deken represent the voice of reason, Rhijnvis Feith is under the spell of sentimentalism, the other extreme of the culture of Enlightenment. His novel *Julia* (1783), whose title reminds us of Jean-Jacques Rousseau's *Julie ou La Nouvelle Héloïse*, is a lachrymose tale full of moonlight and churchyards. Its innovative qualities have, as is the case in contemporary English, French, and German novels, to do with an emancipating shift in content and characters. Narrative themes are no

longer restricted to heroic events of princes and noblemen, or to the comic actions of common people (see CLASS). The leading role is emphatically taken by the citizen, now taken seriously as an individual with feelings and emotions.

THE NINETEENTH CENTURY

During the first half of the nineteenth century the Dutch and Flemish novel moved in the HISTORICAL direction, following Walter Scott. In the Netherlands the great national events of the past—especially the Eighty Years' War (1568–1648) with Spain, whose king, since Charles V, was also sovereign of the Low Countries—were told time and again. The characters of these stories are not only heroic, but also industrious, patriotic, and chaste. By being so they represent the civil virtues of the era.

Flemish nationalism, a result of resistance against the dominance of the French-speaking ruling classes in the nascent Belgian state (which broke away from the Netherlands in 1830), manifests itself in the work of Hendrik Conscience. His novels *De Leeuw van Vlaanderen* (1838, *The Lion of Flanders*) and *Jacob van Artevelde* (1849, *Jacob Artevelde*) glorify the struggle of the medieval Flemish towns of Ghent and Bruges against the French king, culminating in the famous Battle of the Spurs (1302).

Isolated among his contemporaries and unique in his literary and social opinions is Multatuli (pseud. of Eduard Douwes Dekker). Although he wrote and published many books in different genres, his fame is based on one novel, *Of de koffiveilingen der Nederlandsche Handelsmaatschappij* (1860, *Max Havelaar: Or the Coffee Auctions of a Dutch Trading Company*). The eponymous character is a thinly disguised portrait of the author, but the *Max Havelaar* story is also an

act of self-justification. Part of the colonial administration in the Dutch East Indies (now Indonesia), Multatuli tried to improve the living conditions of the native people, and in so doing came into conflict with his superiors. For reasons of honor, he resigned, and vented his frustration in a book that remains a classic, not least because of its refreshing, lively, and witty style, and its capricious and fanciful structure, by which the author shows affinities with writers such as Laurence Sterne (whom he probably never read) and Jean Paul Richter. The (unreliable and ridiculed) narrator, Batavus Droogstoppel, whose acquaintance the reader makes in the first paragraph, is an Amsterdam coffee broker, who voices his antipathy to literature, saying it is nothing but lies and deceit, and of no practical use whatsoever. This harangue shows him to have the typical nineteenth-century Dutch mentality that attached great weight to such bourgeois virtues as diligence, thrift, DECORUM, and piety. The name Batavus refers to the Batavi, a Germanic tribe believed by nationalist historians to be the original inhabitants of the Netherlands (see NATIONAL); *Droogstoppel* (dry stubble) can be taken to mean a dull, boring person, someone to whom idealism and deeply felt emotions are entirely alien. Droogstoppel is indeed the antithesis of the romantic hero Havelaar, who joins battle with the corrupt and profit-seeking authorities.

Characteristic for Multatuli is his talent for satire. *Woutertje Pieterse* (1890, *Walter Pieterse: A Story of Holland*), his other major novel on which he worked for many years without finishing, is famed for the ridicule it heaps on petit-bourgeois Holland. One of its highlights is the scene in which the schoolmaster Pennewip, pedantry incarnate, proves in a discourse that Miss Laps is in fact a mammal.

FIN-DE-SIÈCLE

The next major changes in Dutch and Flemish narrative prose have to do with a radical turn toward realism. French REALISM and NATURALISM, represented by authors such as Gustave Flaubert and Émile Zola, became the new literary paradigm, although in a moderated way. The most dedicated follower of realism is Marcellus Emants, who showed serious interest in the scientific pretensions of Zola's naturalist doctrine. Some traces of naturalism, such as the belief that heredity is the cause of mental disorder, are also to be found in the novels of Louis Couperus, without doubt the most important novelist of his generation. His first novel, *Eline Vere* (1888), shows clear influences of Flaubert's *Madame Bovary* (1857). Like Emma, Eline is a woman of her time and her milieu: educated and sensitive, but shackled by the conventions and etiquette prescribed by bourgeois morals. Her romantic daydreaming clashes with reality, nourishing the neurosis which ultimately drives her to commit suicide.

In his novels Couperus steadily progresses from storytelling to social criticism. In his portrayal of the life of the upper classes he exposed their hypocrisy, prejudices, and narrow-mindedness. A highlight in this respect are the four volumes of *De Boeken der Kleine Zielen* (1901–2, *Small Souls*), a family epic which readily bears comparison with Thomas Mann's *Buddenbrooks* (1901) and John Galsworthy's *Forsyte Saga* (1906–21). Like Mann and Galsworthy, and Zola, whom he greatly admired, Couperus described the decline of the *haute bourgeoisie*.

The cultural and philosophical implications of the theme of decline turned Couperus's attention to a comparable period of history. Like other authors at the end of the nineteenth century, he was

preoccupied with the decadence of the Roman Empire, a phenomenon which he and others related to the establishment of imperial rule, which destroyed republican virtues, and the inescapable law of nature that states and civilizations, just like living organisms, have a limited life span (see *DECADENT*). He expressed these ideas in *De Berg van Licht* (1905, *The Mountain of Light*) and *De Komedianten* (1917, *The Comedians*).

THE TWENTIETH CENTURY

In the Flemish novel the realistic turn to everyday life manifests itself in a preference for rural settings. The important authors here are Stijn Streuvels (pseud. of Frank Lateur) and Cyriel Buysse. Both show their commitment with and pity for poor, exploited, and humiliated working-class people. Buysse's frank dealing with sexual taboos caused angry reactions among Catholic critics. Because of his novel *Tantes* (1924, *Aunts*), now considered his masterpiece, he was condemned as a "perverse decadent."

Streuvels is an outspoken pessimist, who depicts life as an inescapable chain between birth and death. His characters act as if they are passive prisoners of fate, unable to change or influence the eternal laws of nature. His worldview is best expressed in his EPIC novel *De vlasschaard* (1907, *The Flax Field*) and the novella *Het leven en de dood in den ast* (1926, *Life and Death in the Drying Kiln*), which is often compared with the work of Henrik Ibsen and Fyodor Dostoyevsky.

During the 1920s and 1930s narrative prose in Flanders was radically renewed under the impetus of Maurice Roelants and Gerard Walschap. These two writers were far ahead of most of their Dutch colleagues, who still worked within the nineteenth-century realistic tradition. In *Komen en gaan* (1927, *Coming and Going*), Roelants

restricted events and descriptions to a minimum while giving ample rein to the reflections of the protagonist-narrator. Walschap distinguished himself through a sharp increase in narrative tempo, which manifested itself in the schematic, quasi-chronicling nature of the factual account. Where Roelants made frequent use of dialogue, Walschap avoided it as far as possible. This latter feature has been associated with the vitalistic nature of Walschap's novels: words are much less direct than actions.

In their early works both Roelants and Walschap struggled to free themselves from Catholic dogma and the authority of the Church (see *RELIGION*). As the story of a love triangle that does *not* come about, *Komen en gaan* is dominated by a conflict between good and evil that issues from the Christian sense of sin. In this context Roelants's analytical and ethically oriented approach is striking. Unusually, perhaps, given the spirit of the age, there is little or no influence of Sigmund Freud's stress on the instinctual life as the basis of all action (see *PSYCHOANALYTIC*).

Where Roelants concentrated on a crisis-like situation in the life of an individual, Walschap tended to opt for the story of a whole life, a dynasty embracing several generations or a complete community. His trilogy *Adelaïde, Eric, and Carla* (1929–33) were conceived as family novels in the great nineteenth-century tradition; in style and composition, however, they are much more sober and taut. The *NARRATIVE STYLE* remains remarkable, recording the spoken word not as monologues and dialogues but in a form halfway between direct and free indirect speech (see *DISCOURSE*). The language register stands close to the spoken word and the syntax is simple. In his later novels Walschap continues this process of formal renewal.

A third innovator in Flemish prose, Willem Elsschot (pseudo. of Alfons de

Ridder), was far more radical in his anticlericalism than Roelants and Walschap. His novels are shot through with a cynical skepticism. Elsschot mercilessly exposes the nature of the petit bourgeois with his hypocrisy, selfishness, and greed. The critical and satirical tendency of his work is manifest in *Lijmen* (1924, *Soft Soap*), the story of the gentleman con-artist Boorman and his "World Review of Finance, Trade and Commerce, Art and Science." The publication with this sumptuous title is nothing but a subtle way of exposing vain businessmen anxious for publicity. Boorman usually writes an over-inflated article about their business and subsequently offloads a few thousand copies onto the company in question. In *Het been* (1933, *The Leg*), a sequel to *Lijmen*, Boorman becomes sentimental and hence falls prey to his own system. After having dumped 100,000 copies of the "World Review" on the widowed female boss of a metal works, he is subsequently moved to pity and offers compensation to the victim. She, however, proudly refuses, which leads to a fencing match to decide who will be left with the "blood money." Boorman wins, but in so doing he loses his reputation as a ruthless cynic in the eye of his subordinate Laarmans, with whom the author more or less identifies.

The Dutch author Nescio (pseud. of J. F. Grönloh) shows a kinship with Elsschot. He too was a skeptic, because of frustrated idealism. He too showed that all human effort is in vain, by demonstrating how his heroes, "little Titans" in their youth, become disillusioned and frustrated when they grow old. And, just like Elsschot, he wrote in a sober, non-ornamental style. For this reason both authors were appreciated more than ever after 1970.

DUTCH MODERNISM

Carry van Bruggen, one of the first Dutch authors who, in her novel *Eva* (1927), used

the modernist "stream of consciousness" technique (see NARRATIVE TECHNIQUE), had already turned away from the realist paradigm in *Heleen* (1913). The main character's spiritual development is not described in relation to factors such as social environment and material circumstances, but the author portrays her as a self-assured individual who tries to determine her attitude toward life's great existential questions and problems.

In the context of international MODERNISM, *Het verboden rijk* (1932, *The Forbidden Empire*), by J. J. Slauerhoff, bears comparison with Virginia Woolf's *Orlando* (1927). Two characters appear in successive episodes in the story that, historically, are centuries apart. Eventually these characters, the Portuguese poet and globetrotter Luís Vaz de Camões and an anonymous radio operator, coalesce, just as the various time levels merge. The whole is dominated by typically modernist themes such as identity and depersonalization.

Ferdinand Bordewijk combined a proclivity for the fantastic and grotesque with a compact, graphic style which displayed an affinity with German New Objectivity. But he went further than the detached registration of a world dominated by technology and urbanization; he hinted at mysterious powers active in everyday life. In this respect he has much in common with surrealist painters such as Giorgio de Chirico and René Magritte (1898–1967) (see SURREALISM).

Simon Vestdijk, author of many volumes of poetry, short stories, and essays, also wrote fifty-two novels. Among them is a fictionalized autobiography in eight volumes, the Anton Wachter cycle, which parallels Marcel Proust's *À la recherche du temps perdu* (1913–27, *Remembrance of Things Past*) and Meneer Vissers *hellevaart* (1936, *Mr. Visser's Descent into Hell*), a novel clearly inspired by the narrative technique of James Joyce's *Ulysses* (1922). First and

foremost an analyst, Vestdijk dissects psychological complexes, emotions, and interpersonal relationships with almost clinical precision.

Vestdijk was also very productive as the author of HISTORICAL novels. *Het vijfde zegel* (1937, *The Fifth Seal*) centers on the life and work of the painter El Greco, with King Philip II of Spain looming in the background. The relative patchiness of El Greco's biography enabled Vestdijk to fill in the gaps with his imagination. He was to do something similar in *De nadagen van Pilatus* (1939, *The Last Days of Pontius Pilate*). Here the principal roles are played by Pilate, Mary Magdalene, and the mad emperor Caligula; in the background stands the figure of Jesus Christ.

Also semiautobiographical is *Het land van herkomst* (1935, *Country of Origin*), by E. du Perron. The novel has two story lines: one consisting of memories (see MEMORY) of a youth in the Dutch East Indies (now Indonesia) and one in which the first-person narrator, Arthur Ducroo, notes down the effect that writing has on him and what he feels and experiences in the here-and-now (early 1930s Paris). The key word is "authenticity": Ducroo/Perron is determined to reveal the truth about himself, even if it will be painful and embarrassing. But, in the end, he has to admit that as soon as one writes stories, every "I" inevitably turns into a character.

POST-WWII FICTION

After the German occupation of the Netherlands and Belgium a new generation of novelists made their appearance. Many of them wrote about the terror and violence of the Nazi period; in this respect they show an affinity with French existentialists such as Jean-Paul Sartre and Albert Camus. Willem Frederik Hermans treated the war theme in

De tranen der acacia's (1948, *The Tears of the Acacias*) and *De donkere kamer van Damokles* (1958, *The Dark Room of Damocles*). The latter novel, which can also be read as an exciting thriller, is particularly interesting because it reveals Hermans's ambivalent attitude when it comes to philosophical questions concerning reality and truth. In his view it is impossible to decide whether someone was a hero or a villain during the war. The interests of an individual or a group are the sole criteria for such concepts as truth and justice. This is what the main character of *De donkere kamer van Damokles* experiences. A colorless figure who gets the chance to shake off his mediocrity during the German occupation by joining the resistance, he becomes so entangled in the web of espionage and counter-espionage that after the liberation he is considered a traitor rather than a patriot. Since every proof of his innocence has disappeared, the only possibility left is "to be shot while attempting to escape."

Harry Mulisch has written little that does not refer to the events of WWII. The son of a father who collaborated with the German occupying forces and a Jewish mother, he feels himself to be the personification of the war. This obsessive involvement has resulted in a number of novels which could be called milestones in Dutch postwar fiction. *Het stenen bruidsbed* (1959, *The Stone Bridal Bed*) is a forceful and convincing treatise on the problem of guilt and responsibility, showing that the hero, an American pilot who took part in the senseless bombing of the German city of Dresden at the end of the war, was guilty of a war crime. This theme recurs in *De aanslag* (1982, *The Assault*). The question here is whether an act of resistance against the Nazis was justified when it was inevitably followed by reprisals against innocent people. It is significant that Mulisch, when dealing with these problems, constantly refers to ancient

Greek myths. By connecting the recent past to MYTHOLOGY he stresses the constantly recurring chain of events, views, and traditions.

Much more embedded in the postwar here-and-now is Gerard Reve's *De avonden* (1947, *The Evenings*), which bears a striking resemblance to Sartre's *La Nausée* (1938, *Nausea*). The boredom and disillusionment of young people, whose ideals had been shattered by the horrors of the Nazi period, are depicted here in a way which evokes the grayness of the December days during which the action takes place. Reve's absurd, black humor and the stylistic mixture of the pompous and the trivial provide a counterweight to the gloom.

In Flanders Louis Paul Boon stands out as an existentialist author. In *Mijn kleine oorlog* (1946, *My Small War*) he formulated his personal creed: "I want to kick a conscience into people." The simple soldier who lets himself be conscripted for war service is the same man who lets himself be ordered about by his boss. Boon blames the authorities—the government, the administrators, the Church—for inciting the ordinary man to vice and misconduct.

Boon's masterpiece is without any doubt his diptych *De Kapellekensbaan* (1953, *Chapel Road*) and *Zomer te Ter-Muren* (1956, *Summer at Ter-Muren*). In its form this saga of "the rise and fall of socialism," as the author called it, mirrors the disintegration of twentieth-century society and the disturbed mind of modern man. The novels are a mixture of narrative, comments, fables, and more. The everyday life of the people who live in Chapel Road parallels the adventures of the protagonist of the medieval satirical epic *Reynard the Fox*, one of the canonical texts of Flemish literature.

The other major figure in postwar Flemish literature is the multi-talented Hugo Claus, who excelled as a poet, playwright, and novelist, and was also a film director

and a painter. At the age of 19 he wrote *De Metsiers* (1950, *Sisters of Earth*), a somewhat torrid pastoral which owes much to the example of William Faulkner. Claus was one of the first to recognize the importance of the French *nouveau roman*. In *De verwondering* (1962, *The Amazement*) his theme is the fragmented experience of reality and the inextricable entanglement of appearance and substance, which make the conventional sequence of a story, with its beginning, middle, and end, a falsification. The main character keeps a diary on the advice of his psychiatrist, but the fragmentation of his personality increases rather than diminishes as he writes.

Claus's masterpiece is *Het verdriet van België* (1983, *The Sorrow of Belgium*), set in the late 1930s and early 1940s, the years when Flemish nationalists sympathized and even collaborated with the German occupying forces. Louis Seynave, the young hero of this novel, comes to realize that a detached, ironic smile is the only possible means of surviving the torments and frustrations arising from his adolescent problems, and from the tragicomic fate of tiny Belgium torn by the language conflict between the Flemish and Francophone parts of the nation. Claus holds up a distorting mirror to the failures and shortcomings of his compatriots.

POSTMODERN FICTION

Boon and Claus nowadays are seen as forerunners of postmodern fiction, which became dominant in the Netherlands from the 1970s on. In this decade the newly founded literary review *De Revisor* became a platform for a group of young writers, who all shared the view that reality as such exists only in so far as it can be represented in language. Skepticism and solipsism are the inevitable consequences of such an outlook; it also brings in its wake the political

indifference that became widespread in the Netherlands after the euphoric years around 1968. "Imagination," a key term in the fictional and critical works of authors such as Nicolaas Matsier, Dirk Ayelt Kooiman, and Frans Kellendonk, proved worthless as a political agent after the revolutionary spirit of the 1960s had vanished; therefore it had to be returned to its original environment: art and literature. This formula has been worked cleverly and elegantly into the action of *Rituelen* (1980, *Rituals*), a truly post-modern novel for which the author, Cees Nooteboom, received positive acclaim at home and abroad. In present-day Dutch literature no one has thematized the perception of TIME so frequently and persistently as Nooteboom. In his capacity as novelist, poet, and travel writer he has for years now shown himself to be fascinated by the selective and at the same time creative ways in which we transform the passing of time—how memories are filtered in the labyrinth of our memory by the falsifying yet liberating powers of the imagination. The wonder of fiction, as Nooteboom reminds us, depends on the impossibility of recalling everything and the concomitant need to imagine. More wondrous still is that, thanks to our collective memory, we share a common past, no less selectively. In this way art fulfills the role of intermediary between our individual existence and a tradition of thousands of years, and a triangle comes into existence in Nooteboom's work between time, memory, and art. In this respect *Rituals* is a high point.

If the perception of time for Nooteboom is cause for PHILOSOPHICAL and cultural-historical reflection, other Dutch and Flemish writers perceive a challenge in the way in which *this* time, *this* moment in history, asks specific questions of us and makes specific demands on our conscience. Since the late 1990s, not by chance the decades of an "ethical turn" in literary criticism, various

writers in the Dutch and Flemish language area have wrestled with questions having to do with the eternal conflict between good and evil. Here Harry Mulisch has been at the forefront, as can be seen from his novel *De Ontdekking van de Hemel* (1992, *The Discovery of Heaven*). The core of the plot, God's action in restoring to heaven the stone tablets of the Ten Commandments, is not to be seen as an ironic story-line but an expression of concern with increasing decay in moral values. That this concern was serious became evident from a subsequent novel, *De procedure* (1988, *The procedure*; the title is borrowed from English), in which biogenetic manipulation forms the object of a Kafkaesque game involving crime and punishment. And in *Siegfried* (2001, *Siegfried: A Black Idyll*) Mulisch allows us to see how Adolf Hitler—as an historical concept—is "beyond good and evil": he represents the totality of emptiness, the great Nothing.

With *Siegfried* Mulisch returned to his favorite subject, WWII. In *De vermaledijde vaders* (1985, *The Accursed Fathers*) the Flemish writer Monika van Paemel connected the war theme with the persistent patriarchal power structure in Western society, the source—for her—of all evil. Later novels such as *De eerste steen* (1992, *The First Stone*), *Rozen op ijs* (1997, *Roses on Ice*), *Het verschil* (2001, *The Difference*), and *Celestien* (2004, *Celestine*), while maintaining a FEMINIST perspective, focus on the conflict between Israel and Palestine, the ethnic wars in the former Yugoslavia, overpopulation, and environmental destruction, along with other issues high on society's political agenda. It is clear that, for van Paemel, engagement is an existential matter.

A much more frivolous and sardonic attitude is to be found in the work of the Flemish writer Tom Lanoye. His trilogy *Het goddelijke monster* (1997, *The Divine Monster*), *Zwarte tranen* (1999, *Black Tears*),

and *Boze tongen* (2002, *Evil Tongues*) emerged in the shadow of the scandal surrounding the pedophile murderer Marc Dutroux, an affair that shocked Belgium in the early 1990s.

Grotesquerie in theme and style is also the hallmark of the young Jewish Dutch writer Arnon Grunberg. Apparently irreconcilable opposites, such as frivolity vs. tragedy, cynicism vs. sentimentality, and horror vs. farce, express Grunberg's vision that fine words and high ideals are illusions, but that despite this vision, or perhaps because of it, we must be happy, if not in fact, then in the written word. One could sum up Grunberg's aesthetic vision in the title of one of his essay collections: *De troost van de slapstick* (1998, *The Comfort of Slapstick*). The slapstick comes into its own in his novels such as *Gstaad 95–98* (2002), *De asielzoeker* (2003, *The Asylum Hunter*), and in *De joodse messias* (2004, *The Jewish Messiah*), with the striking effect that the horrors they describe (incest, murder, rape, and in the last book, a war of total global destruction declared out of revenge by an Israeli dictator modeled on Hitler) are not palliated but rather intensified. Grunberg's reputation as a cynic who, like the cynics of Greek Antiquity, is in fact an inverted moralist, is confirmed in his philosophical pamphlet *De mensheid zij geprezen* (2001, *In Praise of Mankind*). In this variation of Desiderius Erasmus's *In Praise of Folly* (1509), war is glorified, conscience cast into suspicion, evil dispensed with ironically, and beauty brought into conjunction with cruelty and self-satisfaction. In his later work Grunberg broadens his scope; *Onze oom* (2008, *Our Uncle*), to mention one example, is set in a South American country during a war between a corrupt government and a revolutionary movement.

The cynic Grunberg's absolute opposite pole is the poet, novelist, and playwright Willem Jan Otten, the most prominent and

controversial of a group of writers who returned or converted to the Roman Catholic Church. Inspired by the great cultural critic Dostoyevsky, and therefore apologetic and moralizing, and at the same time full of doubts and skepticism, Otten has expressed his opposition to the human tendency to play God that he discerns in euthanasia and genetic manipulation. He has become firmly committed to his belief in the incarnation and resurrection of Jesus Christ, a belief that he is convinced is not possible without the *coup de théâtre* of the creative imagination at the disposal of writers, artists, and actors. His novel *Specht en Zoon* (2004, *Woodpecker and Son*) treats the theme of the resurrection. It concerns a painter who is given a commission to bring a portrait back to life, but fails on account of his lack of faith.

Last is the Dutch variant of postcolonial discourse, a worldwide phenomenon of past decades. Passing reluctantly over the fact that some of the most interesting Dutch writing at the moment is being produced by first- and second-generation immigrants such as Hafid Bouazza, Abdelkadir Benali, and Kader Abdolah, I here highlight Arthur Japin, whose *De zwarte met het witte hart* (1997, *The Two Hearts of Kwasi Boachi*) gained attention on account of its story-line and its remarkable NARRATIVE STRUCTURE. The author permits one of the two princes from the West African kingdom of Ashanti, both of whom remain "hostages" at the mid-nineteenth-century Dutch court, to tell his story. This he does on the basis of existing archive material, but with an innovative tone and color. The result is a penetrating analysis of the conflict between two clashing identities: that of a displaced person in a xenophobic Europe vs. the cultivated African who will never again be able to find his roots in his country of birth.

SEE ALSO: Dictatorship Novel, National Literature, Regional Novel.

BIBLIOGRAPHY

Hermans, T., ed. (2009), *A Literary History of the Low Countries*.

Musschoot, A.M. (1998), "Netherlandish Novel," in *Encyclopedia of the Novel*, ed. P. Schellinger.

Lukács, Georg

TIMOTHY KAPOSY

Georg Lukács (1885–1971) was not only one of the founders of Western Marxism, he was one of the most important twentieth-century theorists and historians of the novel (see MARXIST, NOVEL THEORY (20TH C.), HISTORY). Born into a wealthy assimilated Jewish family in Budapest, Lukács was heralded a prodigy by his earliest educators. As a teenager, he was involved in the pragmatic and theoretical debates of fin-de-siècle Hungary, and also organized dramatic productions of Henrik Ibsen (1828–1906) and August Strindberg (1849–1912) within Budapest's factories and handicraft shops. Leaving his native soil in 1906 he enrolled first at the University of Kolozsvár, then in 1909 at Berlin University and later in Heidelberg. Lukács crossed a significant threshold of his thinking in this period: in addition to reading the texts of Wilhelm Dilthey (1833–1911), G. W. F. Hegel (1770–1831), and Karl Marx (1818–83) for the first time, he was taught by luminaries Ernst Bloch (1885–1977), Georg Simmel (1858–1918), and Max Weber (1864–1920). Described in retrospect as "romantic anti-capitalism," Lukács's early writing interprets a startling range of thinkers to illustrate and critique the loss of "traditional" societies in Europe since the late eighteenth century. *A lélek és a formák* (1910, *Soul and Form*) consists of ten essays, largely metaphysical in design. Lukács's focus on artistic and critical conduct, the desire of poets, artists, and philosophers to create a semblance of reality in their work, is de-

scribed in a way that shifts between a yearning for the preservation of soul amid a "lachrymose reality" and hints of social commentary. The first chapter, "On the Nature and Form of the Essay," in particular influenced many theorists of his generation, including Theodor Adorno (1903–69), and it has been taken up by contemporary theorists as well (see Butler). Examining a panorama of artists and thinkers both major—Søren Kierkegaard (1813–55), Novalis, Laurence Sterne—and minor—Stefan George (1868–1933), Theodor Storm (1817–1938)—Lukács explores the rapid emergence of modern bourgeois sensibilities and their clash with the prevailing aesthetic trends of previous eras.

Lukács's literary theory finds a more coherent and demonstrative expression in his next major work, *Die Theorie des Romans* (1920, *The Theory of the Novel*). Along with Mikhail BAKHTIN'S *The Dialogic Imagination* (1975) and Ian Watt's *The Rise of the Novel* (1957), Lukács's book has been heralded as one of the century's most influential philosophical studies of the novel. Its ingenuity is attributable to two arguments. First, novelistic writing is said to consist of a singular *ontological* condition, rather than an aesthetic, historical, or psychological one. "The form of the novel," he writes, "is, like no other one, an expression of . . . transcendental homelessness" (1971b, 41). Permanently displaced from a universalized *Heimat* expressed in the cosmologies of Ancient Greece, novelistic writing emerges as the preeminent form that contends with this loss. The novel also exhibits prospects for reevaluating this condition: "The conflict between what is and what should be has not been abolished and cannot be abolished in the sphere wherein these events take place—the life sphere of the novel; only a maximum conciliation—the profound and intensive irradiation of a man by his life's meaning—is attainable" (1971b, 80).

Second, in a gesture that intimates his future conversion from a metaphysical to a historical mode of critique, Lukács uses the category of TIME to index historical shifts in novelistic genres. The narrative sequences of modern novels is interpreted by Lukács as a break with earlier narrative temporalities such as the EPIC, which, comparatively, unfolds a spatial imaginary of wandering heroes and visited lands that recounts events from a previous historical period. Lukács writes:

[t]he normative attitude towards the epic, according to Goethe and Schiller, is an attitude assumed towards something completely in the past; therefore its time is static and can be taken in at a single glance. The author of an epic and his characters can move freely in any direction inside it. . . . Only the complete disorientedness of modern literature poses the impossible task of representing development and the gradual passing of time in dramatic terms. (1971b, 122)

Lukács's deceptively complex insight that "we might almost say that the entire inner action of the novel is nothing but a struggle against the power of time" (1971b, 122) was immensely influential for critics attempting to understand the synthesizing and/or discordant effects of artistic expression, the artifacts it produces, and the time and place of its genesis. Walter Benjamin (1892–1940), for instance, wrote in a letter to Gershom Scholem (1897–1982) that *The Theory of the Novel* "astounded" him because of its ability to "[proceed] from political considerations to a theory of cognition" (355).

On 7 Nov. 1917, Lukács walked to the Deutsche Bank in Heidelberg and placed all his writings in a safe-deposit box, thereby bringing to an end his tacit intellectual preoccupations. Soon thereafter, with reports of the Russian Revolution fresh in his mind, he returned to Budapest and joined

the Hungarian Soviet Republic, becoming People's Commissar for Education and Culture. The regime was eventually defeated, which caused him to flee to Vienna. While there he met, among others, Italian Marxist Antonio Gramsci (1891–1937), and he reformulated the fundamental political principles of his thought.

Lukács's next major intervention, *Geschichte und Klassenbewußtsein* (1923, *History and Class Consciousness*), is considered by many his masterpiece. This study is most influential today as a work of capitalist epistemology. His landmark concept of "reification" is described as a process in which capital shapes all aspects of social life (see CLASS, IDEOLOGY). Building upon Marx's problematic of commodification, Lukács reinterprets capital as having a broad set of consequences throughout daily life. Social formations and their products appear natural, their contingencies and antagonisms are effaced or rendered inexistent in the commodity's genesis. Therefore the consciousness accompanying class divisions—i.e., its de facto legitimacy—is countervailed in Lukács's account by the consciousness of the proletariat, or those who produce the "qualitatively determined unity of the product" (1971a, 88). Class consciousness is thus conceived by Lukács not as an empirical experience of a single group of people but as a *zurgerechnetes* (imputable) type of awareness of social inequality that is deeply antagonistic with the attempt to make capitalist economies and cultures appear natural. This work would come to prominence once again after its republication in the late 1960s, with a critical preface by Lukács, and deeply influence a generation of cultural critics and theorists of the novel, most significantly among them, Fredric Jameson.

After a hostile reception to this work—for which Lukács would offer a brilliant polemical defense that was published for the first

time in 1996—his political and theoretical orientation would undergo another major shift. *Der historische Roman* (*The Historical Novel*), which he wrote in Moscow during the winter of 1937–38, exemplifies his more complex dialectical interpretation of literature as contextualized by and narrating the forces of its social totality. A dynamic interpretation of the role of literature in the political movements of post-Napoleonic history—“the contradictions of human progress” (1962, 344)—he marks the differences in the genre between both earlier historical dramas and the proto-modernist fictions of Flaubert that emerge after the failed revolutions of 1848. “What matters . . . in the historical novel,” he writes, “is not the re-telling of great historical events, but the poetic awakening of the people who figured in those events. . . . It is the portrayal of the broad living basis of historical events in their intricacy and complexity, in their manifold interaction with acting individuals” (1962, 42–43). In the opening of his preface to this work, Jameson describes it as “perhaps the single most monumental realization of the varied program and promises of a Marxist and a dialectical literary criticism” (1962, 1).

In his later work on the novel, Lukács turns primarily to a theorization of REALISM. Consonant with the formulations of class consciousness in his earlier work, he describes realism as a narrative practice that enables its practitioners to express the interrelation of economic and political forces within a particular social totality. This sets the ground for a clash with advocates of modernist writing, chief among them Bertolt Brecht (1898–1956), Adorno, and his teacher, Bloch.

Lukács’s influence in cultural theory and literary criticism is impossible to avoid. Any thorough study of capitalist reification and totality or novelistic forms must engage his work. Edward Said, perhaps

the most insightful literary interpreter of Lukács’s trajectory, has argued for a fidelity to Lukács’s “inducement to insurrectionary action” and argued against tempering his ideas into mere interpretative devices. For Said, Lukács’s “Marxism . . . regulated an interchange between the individual or group intellect and brute actuality; it did not overcome barriers; it dissolved them by formalizing them almost infinitely, just as (paradoxically) proletarian consciousness truly existed when a dehumanized atomism had both dismembered and postponed all human solidarity” (65–66). In the contemporary field of modern and world literature, Franco Moretti, Roberto Schwarz, and Jameson, among others, employ the lessons of Lukács’s theories. For Moretti, *The Theory of the Novel* and Lukács’s writings on realism from the 1930s stand alongside Eric Auerbach’s *Mimesis: The Representation of Reality in Western Literature* (1946) and Pascale Casanova’s *Republique mondiale des lettres* (1999) as theories of the novel invaluable shaped by political constraints of their day. A disavowal of this political complication and gravity, prevents us from understanding Lukács’s critique of the narrative modes mediating our perception of capitalism, and reverses the most valuable direction in which Lukács’s work leads: aesthetic qualities of novels need to be interpreted not as hermetic codes to be deciphered unto themselves, but as complex articulations of the socio-economic situation. Jameson argues for a deep consistency throughout what is too often perceived as Lukács’s disjointed oeuvre: “Lukács’s work might be seen as a continuous and lifelong meditation on narrative, on its basic structures, its relationship to the reality it expresses, and its epistemological value when compared with other, more abstract and philosophical modes of understanding” (1971, 163).

BIBLIOGRAPHY

- Adorno, T. (1991), "Essay as Form," in *Notes to Literature*, vol. 1, trans. S.W. NicholSEN.
- Benjamin, W. (1966), *Briefe*, ed. T. Adorno and G. Scholem.
- Butler, J. (2009), "Introduction," in G. Lukács, *Soul and Form*, trans. A. Bostock.
- Corredor, E.L. (1997), *Lukács After Communism*.
- Jameson, F.R. (1971), *Marxism and Form*.
- Kadarkay, A. (1991), *Georg Lukács*.
- Lukács, G. (1962), *Historical Novel*, trans. H and S. Mitchell.
- Lukács, G. (1963), *Meaning of Contemporary Realism*, trans. J. and N. Maunder.
- Lukács, G. (1970), "Narrate or Describe?," in *Writer and Critic, and Other Essays*, trans. A.D. Kahn.
- Lukács, G. (1971a), *History and Class Consciousness*, trans. R. Livingstone.
- Lukács, G. (1971b), *Theory of the Novel*, trans. A. Bostock.
- Lukács, G. (2000), *A Defence of History and Class Consciousness*, trans. E. Leslie.
- Moretti, F. (2003), "More Conjectures," *New Left Review* 20 (Mar./Apr).
- Said, E. (2002), *Reflections on Exile and Other Essays*.

M

Maghreb *see* North Africa (Maghreb)

Magical Realism

DANIEL BALDERSTON

In a conversation with novelist Cormac McCarthy, filmmaker Ethan Coen asks McCarthy whether he ever rejects ideas because they are too outrageous. McCarthy replies: “I don’t know, you’re somewhat constrained in writing a novel, I think. Like, I’m not a fan of some of the Latin American writers, magical realism. You know, it’s hard enough to get people to believe what you’re telling them without making it impossible. It has to be vaguely plausible” (L. Grossman, 2007, “What Happened When,” *Time*, 29 Oct.). This quotation neatly catches an equivalence that has come to exist between the most commercially successful works of Latin American literature and magical realism, a concept contested by Latin American writers since it was first imported from German art criticism in the late 1920s. A concept that was for a time (mostly in the 1960s and 1970s) used to sell some forms of Latin American writing is now a straitjacket, resented by most Latin American writers, because it constrains a vast literary tradition.

The term “magical realism” was first used by Franz Roh (1890–1965) in 1929 to describe certain currents in German art after expressionism. It was used early by Arturo Uslar Pietri and Miguel Ángel Asturias, and then vigorously challenged by Alejo Carpentier. In 1949 he coined a competing term,

lo real maravilloso (the marvelous real), in several essays and prologues, as a way in which the Latin American writer, in contradistinction to the surrealists, can find the marvelous in the real. While not as influential, Carpentier’s term is set out somewhat more clearly. Magical realism became a dominant critical term through Ángel Flores’s “Magical Realism in Spanish American Fiction” (1955) and Luis Leal’s 1967 essay of the same name, in which Leal argues with Flores about what the term means and whether Franz Kafka is crucial as an influence. The corpus of both Flores and Leal includes such writers as Jorge Luis Borges and Ernesto Sábato, though they are no longer thought of in this regard.

The concept, however confused, became indelibly associated with Gabriel García Márquez’s epic novel *Cien años de soledad* (1967, *One Hundred Years of Solitude*). From there the term became largely the property of publicists and journalists; literary critics despaired of finding a coherent concept in magical realism. It certainly does not define a dominant tradition in Latin American writing since the 1970s. However, it has been used to promote the writing of Asturias, Jorge Amado, Isabel Allende, Márcio Souza, Laura Esquivel, Demetrio Aguilera Malta, and others. Although there is no consensus regarding the term’s meaning, magical realism has influenced writing beyond Latin America, as in the work of Salman Rushdie.

In the most important recent book on Latin American writing of the 1960s, Diana

Sorensen writes against magical realism. Though sympathetic to García Márquez's novel, Sorensen considers its core structural motif: the transformation of the real (ice, for instance, at the beginning of the novel) into the unreal, and the magical (the rain of yellow flowers, levitation, magic carpets) into the natural. According to Sorensen, this was not typical of the writing of the period. Nor was it read sensitively by the publicists for magical realism. The failure to be sufficiently "magical realist" contributed to the lack of global success of such Latin American writers as Juan Carlos Onetti, José Donoso, Clarice Lispector, and Juan José Saer, as well as a group of younger writers who have called themselves the "McOndo" generation as a way of distancing themselves from the flights of fancy associated with García Márquez's imaginary town.

SEE ALSO: Genre Theory, Modernism, National Literature, Realism.

BIBLIOGRAPHY

- Bowers, M. (2004), *Magic(al) Realism*.
 Parkinson Zamora, L. and W. Faris, eds. (1995),
Magical Realism.
 Sorensen, D. (2007), *Turbulent Decade Remembered*.

Mainland Southeastern Asia *see* Southeast Asian Mainland

Manga *see* Graphic Novel

Maqama *see* Arabic Novel (Mashreq); North Africa (Maghreb)

Maritime Southeastern Asia *see* Southeast Asian Archipelago

Marxist Theory

PHILLIP E. WEGNER

The question of the novel has long been central to Marxist theory. Karl Marx "was a

great reader of novels," noted Paul Lafargue, and he "admired Balzac so much that he wished to write a review of his great work *La Comédie Humaine* as soon as he had finished his book on economics" (Baxandall, 150). Conversely, some of the most important and influential contributors to the theorization and history of the novel arise from Marxist theory. This is in part because Marxist theory develops during the peak of the novel's cultural importance; and in part, because of the central role of narrative in Marxist theory.

To understand Marxist theory presupposes a larger question about the nature of Marxism itself. Although many answers have been offered, an especially useful one is that proposed by Fredric Jameson. Marxism is less doctrine or unified theory than a *problematic*, "not a set of propositions about reality, but a set of categories in terms of which reality is analyzed and interrogated, and a set of essentially 'contested' categories at that" (1983, "Science Versus Ideology," *Humanities in Society* 6(2–3):283). Marxism is the science (a continuously evolving, axiom producing, and totalizing epistemological project) of the capitalist mode of production, and dialectically invested in both IDEOLOGY and economics—expressed as the binaries of superstructure and base, subject and object, idealism and materialism, freedom and determinism—with the issue of social CLASS at its center. Finally, the political questions of conflict and struggle, and the transformation of our understanding, institutions, and ultimately our world, form a practical horizon that "always interrupts the 'unity of theory' and prevents it from coming together in some satisfying philosophical system" (Jameson, 2006, "First Impressions," *London Review of Books* 28(17):7).

What draws together the great variety of Marxist theory is the question of the relationship of the novel, as both particular works and a larger institution, to its historical

situation. How the novel relates to that historical context—reflecting, critiquing, dissimulating, intervening in, shaping—is the substance of debate among the tradition’s major figures. The answers range between viewing the novel as a mere epiphenomenal (superstructural) reflection of more fundamental economic realities (base), to seeing it as a concrete expression of a class worldview, to taking it as a significant force in both shaping capitalist society and its ultimate overthrow. As a result, Marxist theory has produced rich and diverse contributions to our understanding of the novel.

Although suggestive reflections on the novel are scattered throughout Marx and Engels’s writings, one of the first explicit statements is to be found in Friedrich Engels’s Apr. 1888 letter to novelist Margaret Harkness. There, Engels defines REALISM as implying “besides truth of detail, the truthful reproduction of typical characters under typical circumstances” (Baxandall, 114). He then praises Honoré de Balzac, who offered a “complete history of French Society” and, even more importantly, who despite “his own class sympathies and political prejudices . . . saw the necessity of the downfall of his favorite nobles” (Baxandall, 115–16). This short essay establishes a significant line of development of Marxist theory as it encourages a reading of the form and content of novels against the grain of an author’s conscious political affiliations. Vladimir Ilich Lenin (1870–1924), for example, writes of the way Leo Tolstoy’s novels reflect their author’s “epoch” (Eagleton and Milne, 42); and Engels’s notion of “typicality” reappears in Georg LUKÁCS’S work on the historical novel, work Jameson calls “perhaps the single most monumental realization of the varied program and promises of a Marxist and a dialectical literary criticism” (Lukács, 1983, 1).

It is in the struggles for socialism that the practical questions of literature’s role come to the fore. One of the most influential

statements in this regard is Leon Trotsky’s *Literature and Revolution* (1924), which argues that a proletarian revolution must also produce a new art and culture. While critical of the Formalist and Futurist schools (see FORMALISM), Trotsky is far from offering a blanket dismissal of MODERNISM, and is equally cautious of demands for a doctrinaire realist proletarian literature, arguing that these are “dangerous, because they erroneously compress the culture of the future into the narrow limits of the present day” (205).

The two most important early Marxist theorists of the novel, LUKÁCS and BAKHTIN, also arise out of the political and cultural ferment of the Russian revolution. Lukács produced his first major work, *The Theory of the Novel* (1916), before his encounter with Marxism. Influenced by Georg Wilhelm Friedrich Hegel (1770–1831) and Søren Kierkegaard (1813–1955), Lukács constructs an ideal typology of the genre that he famously describes as “the epic of a world that has been abandoned by God” (1971, 88). The novel thus struggles to give “form, to uncover and construct the concealed totality of life” (1971, 60). Lukács’s pioneering genre study, *The Historical Novel* (1937), takes a more materialist approach, tracing out the conditions that enabled Walter Scott to found both the genre and its new historical sensibility. Part of the originality of Lukács’s study is his suggestion that any genre has moments of vitality followed by decline, the latter occurring for this quintessential bourgeois genre after the revolutions of 1848. Lukács’s later work expresses a deep hostility toward modernism (though he too was critical of socialist realism as well), arguing for the greater political potentialities of classical realism. This would put him in conflict with a number of his contemporaries, including Bertolt Brecht, Walter Benjamin, Ernst Bloch, and Theodor Adorno (their debates are reprinted in Bloch, et. al, *Aesthetics and Politics*, 1977).

Bakhtin's approach to the novel is a different one, at once deeply populist and sympathetic with modernism, and this put him at odds with the Soviet Union's increasingly rigid literary establishment. For Bakhtin, the novel is deeply rooted in popular culture's satirical traditions, and is distinguished from classical genres such as the epic in that it offers a stylized expression of the rich "polyphony" or "heteroglossia" of different groups and classes, each locked in "dialogic" struggle with its competitors. In the "English comic novel," for example, "we find a comic-parodic re-processing of almost all the levels of literary language, both conversational and written, that were current at the time" (1975, 301). The study of the novel thus needs to be a "sociological stylistics" exposing "the concrete social context of discourse" (1975, 300).

The closing of the revolutionary horizon, the onset of the Great Depression, and the rise of Fascism created a climate less propitious to the development of Marxist theory, although the 1930s did see important reconsiderations in Granville Hicks's *Great Tradition* (1932) and V. F. Calverton's *Liberation of American Literature* (1932) of the CLASS dimensions of American literary history, and scathing critiques of British literature by Christopher Caudwell in *Studies in a Dying Culture* (1938). This was also the moment of Kenneth Burke's influential theorization of literature as "symbolic action" (see Frank Lentricchia, 1983, *Criticism and Social Change*). The postwar moment witnessed an institutional reluctance to engage in Marxist theory, although even here important interventions appear. These would include C. L. R. James's *Mariners, Renegades and Castaways* (1953), a study of Herman Melville's fiction, as a diagnosis of capitalist modernization and its tendency toward totalitarianism; and Adorno's formulations in *Notes to Literature* (1991) and other works of a modernist aesthetics whose

political import lay in its thoroughgoing negativity.

The political, cultural, and theoretical ferment of the 1960s saw a revival of the fortunes of Marxist theory. In addition to reconsiderations of earlier interventions, three distinct trends can be identified. First, Lucien Goldman develops a Marxist sociology of the novel whose central problem is "that of the relation between the *novel form* itself and the structure of the social environment in which it developed, that is to say, between the novel as a literary genre and individualistic modern society" (Eagleton and Milne, 209).

Secondly, Louis Althusser's structuralist Marxism provided an impetus for original work (see STRUCTURALISM). Pierre Macherey developed a strategy of "'symptomatic reading' which enables us to identify those gaps and silences, contradictions and absences, which deform the text and reveal the repressed presence of . . . ideological materials" (1966, *A Theory of Literary Production*, viii). A decade later, Terry Eagleton further expands upon the Althusserian turn, reading the literary text not as the expression of ideology but as "a certain *production*" of it (1976, *Criticism and Ideology*, 64). However, Eagleton soon turned from structuralism, something evident six years later in *The Rape of Clarissa* (1982), a study that combines historical materialism with poststructuralist theories of textuality, psychoanalysis (see PSYCHOANALYTIC), and feminism (see FEMINIST).

Finally, evolving out of a left humanist tradition and contributing significantly to the development of British cultural studies, Raymond Williams also produced a deeply influential body of scholarship. Williams argues that novels give voice to what he calls "structures of feeling," "meanings and values as they are actively lived and felt" (1977, 132). For example, in *The English Novel from Dickens to Lawrence* (1970), Williams explores how the nineteenth-century novel registers a crisis in the sense of

nation and “knowable community”; and his masterpiece, *The Country and the City* (1973), maps how a tradition of British literature extending from sixteenth-century country-house poetry through contemporary global fictions both reflect changes wrought by the Industrial Revolution and register emerging sensibilities before they enter into explicit public discourse.

The most elaborate contemporary statement of Marxist theory is to be found in the work of Jameson. Questions of the novel and narration already play a central role in his *Marxism and Form* (1971). However, his most influential theorization of the novel occurs in *The Political Unconscious* (1981), a work whose opening motto, “Always historicize!” (9), signaled a turn in the 1980s from formalism to deeper attention to concrete situations out of which cultural texts emerge. Bringing together the seemingly antithetical strains represented by Lukács and Althusser, and supplementing these with insights drawn from psychoanalysis (see PSYCHOANALYTIC) and STRUCTURALISM, Jameson develops a threefold hermeneutic that reads any text in terms of their “symbolic acts,” “ideologemes,” and “ideology of form” (1981, 75–6). His deeply dialectical approach also challenges readers to be sensitive to utopian figurations in novels.

The publication of *The Political Unconscious* opened a richly productive period in Marxist theory. At the forefront of this new work stands Michael McKeon’s *The Origins of the English Novel, 1600–1740*. McKeon sets for himself the task of explaining “how categories, whether ‘literary’ or ‘social,’ exist in history: how they first coalesce by being understood in terms of—as transformations of—other forms that have thus far been taken to define the field of possibility” (4). McKeon shows how the “simple abstraction” of the novel comes into being as the culmination of a centuries-long debate over the two intertwined sets of epistemo-

logical and social concerns, “questions of Truth” and “questions of Virtue.” The novel emerges as the negation of both the authority of established texts and the aristocratic code of behavior found in the chivalric romances.

This moment also witnessed a new centrality of GENDER in Marxist theory that reconfigures in significant ways traditional understandings of CLASS. For example, Rachel Bowlby’s *Just Looking* (1985) explores how naturalist novels stage the spectacular growth of modern consumer society and its effects on class and gender identity (see NATURALISM). Nancy Armstrong’s *Desire and Domestic Fiction* challenges the portrayal of women novelists as victims by showing how their work participates in the triumph of middle-class culture. The novel was so successful in this political work precisely because it presents itself as domestic, feminine, and apolitical. Bruce Robbins’s *The Servant’s Hand* (1986) further complexifies the analysis of nineteenth-century British novels by looking at the crucial role played by the figure of the servant.

Franco Moretti, building upon the work of Lukács, has also been a major figure in the recent development of Marxist theory. His *The Way of the World* explores the mediatory role of the BILDUNGSROMAN in nineteenth-century Europe and the development of “youth” as “a value in itself” (177). In *Modern Epic* (1996) and *Atlas of the European Novel, 1800–1900* (1998), Moretti offers highly original contributions to the “spatial turn” in theory, examining how the novel, in its thematic, formal, and institutional dimensions, reflects and furthers global transformations wrought by capitalist modernity.

Other recent work in Marxist theory has also increasingly turned to questions of imperialism, postcoloniality, and globalization. Edward Said’s *Culture and Imperialism* (1993) is a landmark in this

regard. Gayatri Chakravorty Spivak, who forged a Marxist theory informed by feminist theory, subaltern studies, and deconstruction, maps out “the vicissitudes of the native informant as figure in literary representation” (1999, *Critique of Postcolonial Reason*, 112). Peter Hitchcock’s *Dialogics of the Oppressed* (1993) deploys the critical resources made available by Bakhtin in a nuanced reading of postcolonial women’s novels. Kojin Karatani’s *Origins of Modern Japanese Literature* (1993) explores the role of the innovations in the novel form in the modernization of Japan; Mary N. Layoun’s *Travels of a Genre* (1990) looks at the twentieth-century migration of the novel into Greek, Arabic, and Japanese cultures and its role in debates between the “modern” and “tradition;” and Jean Franco’s *Decline and Fall of the Lettered City* (2002) investigates the effects of the Cold War on the Latin American novel.

Marxist theory has also provided a significant impetus to an engagement with popular novels. Drawing upon Brecht, Darko Suvin developed a theory of SCIENCE FICTION “as the literature of cognitive estrangement,” and hence as one of the great modernist genres (1979, *Metamorphoses of Science Fiction*, 4). Jameson has famously argued for the need to think about the specificity and originality of such forms as science fiction and “Third-World literature” (see Jameson, 2005, *Archaeologies of the Future* and 1986, “Third World Literature in the Era of Multinational Capitalism,” *Social Text* 15:65–88). In *Delightful Murder* (1984), the political economist Ernest Mandel has written about ideology and form in the “crime story”; and Michael Denning has explored the ideological work of British spy thrillers in *Cover Stories* (1987) and nineteenth-century American dime novels in *Mechanic Accents* (1987) (see DETECTIVE). All of this work, as well as a wealth of

recent studies by a new generation of scholars, shows that Marxist theory continues to be an indispensable resource for developments in the study of the novel.

BIBLIOGRAPHY

- Armstrong, N. (1987), *Desire and Domestic Fiction*.
 Bakhtin, M.M. (1975), *Dialogic Imagination*.
 Baxandall, L. and S. Morawski (1973), *Marx and Engels on Literature and Art*.
 Eagleton, T. and D. Milne, ed. (1996), *Marxist Literary Theory*.
 Jameson, F. (1971), *Marxism and Form*.
 Jameson, F. (1981), *Political Unconscious*.
 Lukács, G. (1971), *Theory of the Novel*.
 Lukács, G. (1983), *Historical Novel*.
 McKeon, M. (1987), *Origins of the English Novel*.
 Moretti, F. (1987), *Way of the World*.
 Trotsky, L. (1924), *Literature and Revolution*.
 Williams, R. (1973), *Country and the City*.
 Williams, R. (1977), *Marxism and Literature*.

Mashreq see Arabic Novel (Mashreq)

McKeon, Michael see Marxist Theory; Novel Theory (20th Century)

Melodrama

WEIHSIN GUI

A genre of theater that emerged in late eighteenth-century France, melodrama is distinguished by spectacle and sensationalism, intense and extravagant displays of emotion and affect (often through the use of stage tableaux), polarized characters who are hapless victims, dastardly villains, and virtuous heroes, highly schematized plots centered around family secrets, domestic scandals, or calumnious mysteries, and the ultimate revelation and resolution of such affairs when the forces of good triumph over evildoers. Peter Brooks’s important study (1976, *The Melodramatic Imagination*) points to French playwright François-René

Guilbert de Pixerecourt (1773–1844) as the founder of this genre. But the influence of melodrama extends beyond the stage onto the pages of the modern European and Anglo-American novel, exemplified by Honoré de Balzac's *Le Pere Goriot* (1835, *Father Goriot*) and Henry James's *The Wings of the Dove* (1902). Responding to modernity's desecralization and loss of tragic vision (see MODERNISM), the melodramatic imagination in the modern novel underscores the theatricality and excess of fictional representation. This dramatic excess locates and articulates the "moral occult," namely "the domain of spiritual forces and imperatives that is not clearly visible within reality," but has to be revealed (Brooks, 20). James's characteristic dense and sinuous prose, and his portrayal of female protagonists like Isabel Archer in *The Portrait of a Lady* (1881), can be read as the work of a melodramatic imagination. Similarly, Balzac's combination of literary realism and theatrical melodrama may be thought of as subversions of the prevailing social conventions underpinning these GENRES.

In nineteenth-century Britain, the adaptation of many novels for the theater created more intersections between melodrama and the novel, exemplified by Wilkie Collins's *The Woman in White* (1859) and Charles Dickens's *Great Expectations* (1861). Dickens in particular is noted for his adaptation of GOTHIC villains for novelistic melodrama and his externalization of private emotions, which helped popularize the novel as a cultural form that both instructs and entertains a mass audience. The rise of sensation theater later in the century was concomitant with the emergence of sensation novels such as Mary Elizabeth Braddon's *Lady Audley's Secret* (1862) and Ellen Wood's *East Lynne* (1861). Winifred Hughes (1980, *The Maniac in the Cellar*) traces its roots to the traditional ROMANCE, the gothic novel, and the Newgate novel of

crime and prison houses (see DETECTIVE), but argues that melodrama is key to understanding the sensation novel's combination of romance and REALISM, and how its heightened affect and exaggerated style react against the prosaicness of mainstream DOMESTIC fiction. However, sensation novels' focus on female propriety, marital relations, and family connections suggests a form of domestic melodrama that problematizes rather than rejects the family as an ambiguous and contested space.

In the U.S., sensationalist writing in popular city novels contributed to a growing consciousness of nation and empire in the nineteenth century. The melodramatic imagination has been an important part of historical and contemporary representations of RACE in American popular culture, ranging from novels such as Harriet Beecher Stowe's *Uncle Tom's Cabin* (1852) to the media coverage of O. J. Simpson's trial in 1995 (L. Williams, 2001, *Playing the Race Card*). Outside the U.S. and Britain, melodrama also played an important part in late nineteenth- and turn-of-the-century fiction in Spanish America and Japan. Colombian writer Soledad Acosta de Samper's *Los Piratas de Cartagena* (1886, *The pirates of Cartagena*) used sensational swashbucklers and beautiful heroines to dramatize the conflict between different political forces in the nation-building process (N. Gerassi-Navarro, 1999, *Pirate Novels*). Novels such as Natsume Sōseki's *Gubijinsō* (1907, *Poppies*) drew on melodrama's moral polarization and sentimental domesticity to represent social and ideological struggles during Japan's sweeping Meiji Restoration (see IDEOLOGY). Furthermore, reading melodrama as a sensational mode of representation rather than a strictly defined genre has enabled analyses of different types of narratives. Ann Cvetkovich (1992, *Mixed Feelings*) draws attention to sensationalist rhetoric in Karl Marx's discussion of commodities in

Capital, while Anna Maria Jones (2007, *Problem Novels*) shows how certain strands of Victorianist criticism are also marked by literary sensationalism.

BIBLIOGRAPHY

- Ito, K. (2008), *Age of Melodrama*.
 John, J. (2001), *Dickens's Villains*.
 Kirby, D. (1991), *Henry James and Melodrama*.
 Prendergast, C. (1978), *Balzac*.
 Pykett, L. (1992), "Improper" *Feminine*.
 Streeby, S. (2002), *American Sensations*.

Memoir-Novel *see* France (18th Century)

Memory

EDWARD J. DUPUY

How great, my God, is this force of memory, how exceedingly great! It is like a vast and boundless subterranean shrine. Who has ever reached the bottom of it?

(Augustine, *Confessions*)

Without memory, the narrative act, let alone any other artistic form, would seem an impossibility. Like a piano keyboard, the "boundless subterranean shrine" provides for infinite arrangements—now in one key, next in another—and like the music created, memory patterns, disrupts, suggests, reveals, conceals, creates, destroys, invites, and puts off. It recollects the known, calls forth the unknown, animates selfhood, or challenges the very notion of self. As such it comes as no surprise that memory is the *sine qua non* of novels and novel writing, in whatever epoch. Memory can be hailed in the early modern, serve as the object of recovery in the modern, or be denied in the postmodern. In every period, however, it remains, positively or negatively, a focal point for novels and novelists.

MEMORY IN LITERARY HISTORY

Each era in literary history displays a characteristic understanding of memory, and so it is possible to speak of an evolution of memory. The transition from epic tale to renaissance drama to the early novel, for example, suggests a radical transformation of memory. The epic poet recited from memory the accounts of the great deeds of founding cultural figures. The poet told of defining wars replete with national heroism and individual honor. Western myths of the classical era recount origins, *in illud tempus* (in that time), of good and evil, of creation, and even of time itself (see MYTHOLOGY). All this transpired first in the oral tradition, through the power of memory. It might even be possible to speak of that era possessing a collective memory, the shared consciousness of time, and thus history and culture through the recounting of story, legend, and myth. The world of myth exemplifies circular time, the eternal recurrence of events that frame time, space, government, and everything that moves under the sun. Thus Plato could say in the *Timaeus* (360 BC) that time is the "moving image of eternity" and that memory is the recollection of what has already been known in eternity but forgotten in time. And the later Greek ideal expressed by the Stoics manifested not a reveling in time but an endurance of its repetition.

Juxtaposed with our postmodern world, however, one might find the Greek view unfathomable. The denizens of the West, from the dawn of the modern era to the present day, would be hard pressed to speak of a shared consciousness or collective memory—except perhaps in the puzzling connection between novel, novelist, and reader during the act of reading, or in other forms of linguistic exchange. Instead of collectivity or the possibility of a shared recollection, the contemporary consciousness revels in difference, individuality, its own creativity, or in the case of Samuel Beckett, the impossibility of positing an "I."

William Shakespeare can be viewed as a transitional figure between a Western culture that shared its foundations of meaning and origins through recollection in memory and the radical disjunction of memory and collectivity. In that sense he best expresses the early modern period and he anticipates the fragmentation of consciousness (1603–6, *King Lear*), the will to power (1601–7, *Macbeth*; ca. 1603, *Othello*), and a radical deracination and doubt (1599–1601, *Hamlet*), all decidedly contemporary issues. He writes of the deeds of the great, to be sure (*Hamlet*, *King Lear*, *Macbeth*), and in so doing he both defines history and recounts it. As the problematic Henry V tells Katherine: “Dear Kate, you and I cannot be confin’d within the weak list of a country’s fashion. We are the makers of manners . . .” (ca. 1599, *Henry V*, V.ii.269–71). In these simple lines of wooing, Henry at once recalls the place of the king in his age and heralds an age rife with individual definitions of manners, and one could say, of time and history as expressed through a deracinated and individual memory.

THE RISE OF THE NOVEL AND THE AUTOBIOGRAPHY

It may come as no surprise that the novel arises soon after Shakespeare’s genius. Ian Watt, for his part, argues that in order for the novel to rise as a literary form it was necessary that the ordinary activities of ordinary individuals become notable. *Hamlet* may be the Prince of Denmark, but he is also very much an individual who battles with the memory of loss, the vicissitudes of history, and the call to act in time. In these attitudes, he presages the contemporary world. *Hamlet* could very nearly stand in for William Faulkner’s Quentin Compson, who in both *Absalom, Absalom!* (1936) and *The Sound and the Fury* (1929) tries to piece together the fragmented history of his past,

of the American South, and, one might say of history itself. And it is no secret that Faulkner borrowed the title of the 1929 work directly from Shakespeare’s *Macbeth*: “[Life] is a tale told by an idiot, full of sound and fury, signifying nothing” (V.v.26–28).

Quentin is no epic hero, prince, or person of remarkable stature. Nor, for that matter, is his “idiot” brother Benjamin (Benjy). And yet their story bears the truth of Watt’s argument about the novel—that it steps into the literary landscape to tell of the ordinary deeds of everyday people. *The Sound and the Fury* carries within it elements of the picaresque, the early example of the novel that tells in episodic form of the wanderings of the *pícaro*, or rogue, an “ordinary” person if ever there was one. While Quentin’s section in Faulkner’s remarkable novel is exceedingly stylized, the success of that section rests partially on Quentin’s picaresque wanderings around Boston—and his dark wanderings in memory—ending at the fateful bridge spanning the Charles River.

In order for the *pícaro* to find an audience, however, and in order for the novel to gain a foothold, a transition of memory and history must also have taken place. Georg LUKÁCS calls the novel “the epic of a world that has been abandoned by God.” By this I take him to mean that the novel emerges in response to the demise of cyclical time and as a result of the perils of linear and unrepeatable time. And Walter Reed says that the novel “opposes itself to other [traditional] forms of literature,” and that this opposition finds expression clearly in the novel’s audience—“not a community of listeners attending to an epic ‘song’ . . . Rather, [the novel’s audience] is a solitary, anonymous figure, scanning a bulk of printed pages, out of a sense of nothing better to do” (Reed; see also Dupuy).

It is the individual, both as character and audience, which the novel depicts. Furthermore, it is ordinary events in time and memory that the novel recounts. Time,

memory, and the novel are thus inextricably joined. It is not surprising that at the same time novels were finding their way into the hands of solitary readers, autobiography also arises (see LIFE WRITING). It is as though memory and the individual have been cut loose from the stays of cyclical and epic time, and they seek mooring through the literary forms of the novel and autobiography that uniquely address self and memory. Georges Gusdorf has noted that one of the “conditions and limits” of autobiography involves a radical new awareness of time—a self bereft of the mythic structures that held the “terrors of history” at bay. Much the same could be said for the novel. Memory and history find themselves freed (and threatened) in the early modern period with its newfound awareness of the linearity, the nonrepeating quality, of time and history. The novel and autobiography emerge at once to express it and to quell the nascent unease such a realization evokes.

MEMORY IN AUTOBIOGRAPHY

Autobiography is an important consideration here, because the person who takes the time to write his or her life must use memory to do so. If a person’s life could be charted on a time line, then the autobiographer stops at a point on that line to look back in memory and fashion the story. James Olney, perhaps the greatest of the students of autobiography, has noted that in writing his first book, *Metaphors of Self* (1972), he wanted to explore ways writers transform experience into literature. In that sense, he did not consider the work a strict study of autobiography, which he did not try to define. Instead he looked at consciousness, time, and memory, and the interplay of those with a written text. Olney considers what a novel, a series of poems, an entire oeuvre, or a self-proclaimed autobiography might say about the “self” who produced them. (And

what they might say to the reader about time and memory—and his or her experience of “self.”) Taken even further, what might they say about the age in which the works were produced, and the “self’s” understanding of itself in that age? These are the questions Olney explored in his first works. In his later works, and particularly in his magisterial *Memory and Narrative* (1998), he refines and deepens that search to include not only time and memory, but also their correlate: narrative. And he chooses three giants—Augustine, Rousseau, and Beckett—as his signposts in the vast history of literature, but he makes several intermediate stops along the way to consider works that might traditionally be considered “autobiography,” and many others that may not.

In this landmark volume, Olney notes a consistent pairing in Augustine of remembering and confessing, recalling and narrating, recollecting and telling: “a single activity of dual dynamic, recalling a story backward and telling it forward” (1998). The dual dynamic, furthermore, recapitulates Augustine’s tripartite understanding of time—the present of time past (memory), the present of time present (awareness), and the present of time future (anticipation). The act of narration involves all three inasmuch as the recitation is held in anticipation, moves through recitation itself, and then is “stored” again in memory for another telling. For Augustine, memory provides the link, the continuity and stability of being across time. Memory connects past experience and present consciousness and thus allows for what Augustine considered a stability of “self.”

By the time Samuel Beckett appears on the scene, however, such continuity and stability are called radically into doubt. Augustine would say the past is present in memory and is thus in some sense, verifiable. Beckett suggests that the past is so removed from the present that it cannot possibly be verifiable,

and therefore the *I* that presumably supplies the continuity across time is likewise suspect. Hence, Beckett, “like other writers of our time, has altered the terms . . . by calling into doubt, in the most radical way, memory’s capacity to establish a relationship to our past and hence a relationship to ourselves grown out of the past” (Olney, 1988). Augustine’s vast “subterranean shrine” that allows a subject to say “I remember” in a present consciousness is not available in the same way to Beckett. For Beckett, there remains only the infinite regress of memory and narrative, the endless attempt, as in *Krapp’s Last Tape* (1958), to try to tell from memory, and to try to remember the attempt at telling in memory the trying to tell and trying to remember—and then musing at the consistently failed attempts.

St. Augustine set the stage for hundreds of years—leading to Jean-Jacques Rousseau—for Olney, a transitional figure who in his emphasis on his absolute uniqueness as expressed in feeling and memory, sets the stage not only for the Romantics who would follow him, but also for the unverifiable memory of Beckett. If Augustine formulated the triad of memory, self, and God, then Rousseau not only reduces the terms to memory and self, but those terms are further reduced to feeling: “I have need of no other memories; it is enough if I enter again into my inner self.” That inner self dwells in memory, but memory is a function of feeling. Rousseau sets out in his *Confessions* to tell the “history of his soul.” That “history” is the history of his feelings. Though they be unverifiable, their “truth” rests on their uniqueness such that Rousseau presents himself as having no parallel either before or after.

While I have shown memory’s relation to the rise of the novel and of autobiography, and while I have followed James Olney in his tracing of the major stages of memory and narrative, I have avoided mention of T. S. Eliot and Marcel Proust, two other

giants in whose works memory is not only an agent but also a theme. Eliot’s *Four Quartets* (1943), among others, and Proust’s *À la recherche du temps perdu* (1913–27, *Remembrance of Things Past*) stand also as seminal works in the evolution of an understanding and expression of memory, Eliot for passing through the remembered gate at Little Gidding, for example, and Proust for the tremendous outpouring of narrative arising from a remembered sensate experience.

I suggested early on that memory is the *sine qua non* of novels and novelists. Faulkner stands as a colossus among writers of the American South, a region haunted by memory, as many commentators note. Yet Eudora Welty, Robert Penn Warren (both in his poetry and novels), Richard Wright, Thomas Wolfe, Maya Angelou, William Styron, Alice Walker, Toni Morrison, and Walker Percy, among many others, all trouble over the question of memory and self, time, and history. Among many others on the world stage, Wole Soyinka’s *Ake* (1981), Nathalie Sarraute’s *Enfance* (1983, *Childhood*), Maxine Hong Kingston’s *The Woman Warrior* (1976), Ronald Fraser’s *In Search of a Past* (1984), and Primo Levi’s *Il sistema periodico* (1975, *The Periodic Table*) all offer unique expressions of memory and its problematic role in relation to time, consciousness, and “self.” In contemporary novels, too, memory finds its place. That place may or may not be expressed as the vast storehouse of Augustine, the unique feeling of Rousseau, or even the radical disconnection of Beckett. But memory is there, in all its ineffable and inexhaustible nature.

SEE ALSO: Narrative, Psychological Novel.

BIBLIOGRAPHY

- Cox, J. (1989), *Recovering Literature’s Lost Ground*.
 Dupuy, E.J. (1996), *Autobiography in Walker Percy*.
 Eakin, P.J. (1985), *Fictions in Autobiography*.

- Eakin, P.J. (1999), *How Our Lives Become Stories*.
 GUSDORF, G. (1980), "Conditions and Limits of
 Autobiography," trans. J. Olney, in
Autobiography, ed. J. Olney.
 LUKÁCS, G. (1971), *Theory of the Novel*.
 OLNEY, J. (1972), *Metaphors of Self*.
 OLNEY, J., ed. (1998), *Memory and Narrative*.
 REED, W. (1981), *Exemplary History of the Novel*.
 WATT, I. (1957), *Rise of the Novel*.

Metafiction

WEIHSIN GUI

Metafiction is often used to describe *avant-garde* works by American and British writers published from the 1960s up to the early 1990s, and is considered an important component of postmodernist literary style. The term was introduced by American novelist William H. Gass to describe writing "in which the forms of fiction serve as the material upon which further forms can be imposed" (25). Elaborating on Gass's definition, Patricia Waugh glosses metafiction as writing "which self-consciously and systematically draws attention to its status as an artefact in order to pose questions about the relationship between fiction and reality" (2). The increasing presence of metafiction in literature during this period is connected to sociopolitical changes in the U.S. and Britain, such as the civil rights and feminist movements and the introduction of French structuralist and poststructuralist theories of language and signification into the Anglo-American academy (see *STRUCTURALISM*), as well as the translation into English of works by South American writers such as Jorge Luis Borges's *Ficciones* (1944, *Fictions*) and Gabriel García Márquez's *Cien años de soledad* (1967, *One Hundred Years of Solitude*). Some features of metafiction include self-reflexiveness about the writing process, anxiety and uncertainty regarding the authenticity of representation, and playfulness and irony in narrative voice, as

well as the authorial manipulation of linguistic signs and systems. Peter Ackroyd's *Chatterton* (1987), John Fowles's *The French Lieutenant's Woman* (1969), William H. Gass's *Omensetter's Luck* (1966), Iris Murdoch's *The Black Prince* (1973), and Vladimir Nabokov's *Pale Fire* (1962) are important examples of metafictional novels from this period.

However, some of these metafictional features are found in narratives written before the twentieth century, such as Miguel de Cervantes Saavedra's *Don Quixote* (1605, 1615) and Laurence Sterne's *The Life and Opinions of Tristram Shandy* (1759–67). This anachronism points to metafiction's analytical usefulness that extends beyond the time period described above. As a critical term, metafiction interrogates the boundaries between literary fiction and scholarly criticism, foregrounds yet circumscribes authorial power, implicates the reader in the production of the text's narrative, and questions the novelistic conventions of linearity and realism that became predominant during the eighteenth and nineteenth centuries. Linda Hutcheon discusses a specific form of historiographic metafiction that combines both descriptive and analytical aspects; novels such as J. M. Coetzee's *Foe* (1986), Salman Rushdie's *Midnight's Children* (1981), and Graham Swift's *Waterland* (1983) blend historical realism with metafictional qualities to suggest "that to re-write or to re-present the past in fiction and in history is, in both cases, to open it up to the present, to prevent it from being conclusive and teleological" (110). In African American literary studies, metafiction often marks writers' self-conscious negotiations with the history of colonialism and slavery as well as American and African folklore and cultural myths, evidenced by novels such as Rita Dove's *Through the Ivory Gate* (1992), Charles Johnson's *Middle Passage* (1990), and Toni Morrison's *Tar Baby* (1981). Metafiction is also an important mode of writing in modern

Spanish novels, ranging from Cervantes's *Don Quixote* to Miguel de Unamuno's *Niebla* (1914, *Mist*) and Juan Goytisolo's *Juan sin Tierra* (1975, *Juan the Landless*), with a gradual transformation from narratorial intrusion and the demystification of fictional conventions into a self-referential commentary on the power of the authorial imagination and the art of creating fiction.

BIBLIOGRAPHY

- Gass, W.H. (1970), *Fiction and the Figures of Life*.
 Hutcheon, L. (1988), *Poetics of Postmodernism*.
 Jablon, M. (1997), *Black Metafiction*.
 Marshall, B. (1992), *Teaching the Postmodern*.
 McCaffery, L. (1982), *Metafictional Muse*.
 Scholes, R. (1979), *Fabulation and Metafiction*.
 Spires, R. (1984), *Beyond the Metafictional Mode*.
 Waugh, P. (1984), *Metafiction*.

Metaphor *see* Figurative Language and Cognition; Rhetoric and Figurative Language

Mexico

DEBORAH COHN

In 1996, five Mexican authors issued what they called the *manifiesto crack* ("crack manifesto"). Ricardo Chávez Castañeda, Ignacio Padilla, Pedro Ángel Palou, Eloy Urroz, and Jorge Volpi were all born in the 1960s and had come of age in the shadow of writers such as Julio Cortázar, Carlos Fuentes, Gabriel García Márquez, and Mario Vargas Llosa, who rose to prominence throughout the West in the 1960s as part of the movement known as the "Boom" in the Spanish American novel. The choice of "crack" for the more recent movement deliberately echoed the use of the term "Boom" to designate the tremendous success of García Márquez and his contemporaries. But the label also implied a rupture, namely the authors' re-

jection of MAGICAL REALISM, a mode initially associated with García Márquez that had, by the 1990s, become both popular and commercially successful, and that readers and publishers alike had come to expect of Latin American writers. Instead, the writers advocated a return to more demanding novels, looking to their Mexican forebears, Spanish American models, and to European classics. At the same time, they asserted their right to not write about Mexico or Latin America, often setting their work in Europe and drawing heavily for their subject matter on European intellectualism.

By rejecting both magical realism and the assumption that novels by Mexican authors must also be about Mexico, the "crack" writers were, in effect, redefining expectations of the Mexican novel. But if the move away from Mexico as a subject suggested a break from tradition, it was, in fact, part of the longstanding pendular movement in Mexican literature between two conflicting tendencies: nationalism, where writers were expected to take the nation's social and political situation as their subject; and cosmopolitanism, which sought to open Mexican culture up to foreign influences in an effort to bring the nation into sync with the Western world (see NATIONAL).

THE NINETEENTH-CENTURY NOVEL

The tensions between Mexico's autochthonous and European heritage are evident in José Joaquín Fernández de Lizardi's *El periquillo sarniento* (*The Itching Parrot*), Mexico's—and Spanish America's—first novel. Published in installments in 1816, while Mexico was still struggling to achieve independence, it describes life in late eighteenth-century colonial Mexico, focusing on the shifting social landscape, including the rise of capitalism and the concomitant emergence of the bourgeoisie. The novel

draws on the PICARESQUE for its structure and themes, narrating, in episodic form, the apprenticeships and (mis)education—as well as the ultimate repentance—of Pedro Sarniento (see BILDUNGSROMAN). The novel also conveys Fernández de Lizardi's support for Mexican independence in its critique of the Spanish colonial administration, as well as its satire of the corrupt and incompetent professionals whom Sarniento meets.

After achieving independence in 1821, Mexican politics entered a turbulent period of revolving-door presidencies and civil wars. From the 1860s on, Ignacio Altamirano, a writer and politician of indigenous descent, used his work to help model a path for building the nation. *El zarco, episodios de la vida mexicana en 1861–1863* (1901, *El Zarco, The Blue-Eyed Bandit*), is what Doris Sommer has labeled a “foundational fiction”: the story of a romance between characters representing conflicting races, classes, and/or interests in the new republic that must be brought together in “marriages that provide a figure for apparently nonviolent consolidation” and thereby serve as models for hegemonic projects of national consolidation (6). Set during the early years of the presidency of Benito Juárez (1806–72), an Indian who set in motion a number of liberal reforms, *El Zarco* tells the story of Nicolás, an indigenous blacksmith in love with a white woman of a higher class, who eventually marries Pilar, a *mestiza* woman of humble origins. Nicolás's qualities as a model citizen and his relationship with Pilar offer a contrast to and way out of the contemporary social and political upheaval.

THE NOVEL OF THE MEXICAN REVOLUTION AND ITS SUCCESSORS

The presidency of Porfirio Díaz (1877–80, 1884–1911) emphasized modernization and development, but extended the material

benefits of progress to very few. Francisco Madero (1873–1913) wrested power from Díaz in a struggle that set off the Mexican Revolution, which lasted until 1920, devastating the nation's infrastructure and land, and claiming thousands of lives. In 1915, while the fighting still raged, Mariano Azuela, a doctor who had fought alongside Pancho Villa (1878–1923), published *Los de abajo* (*The Underdogs*) in serial form (see SERIALIZATION). (The work was republished as a novel in 1925.) The novel follows the rise of Demetrio Macías, who becomes a war hero even though he does not understand what he is fighting for, and his subsequent fall as he and his men become mirror images of the corrupt and violent government troops whom they had once fought. *Los de abajo* offers a biting critique of the corruption, disorganization, and lack of ideals behind the Revolution and the increasing violence and opportunism that characterized it.

Azuela's novel initiated the literary tradition known as the *novela de la Revolución* (novel of the Revolution), a largely realist genre (see REALISM) that dominated Mexican narrative through the 1940s. Authors such as Martín Luis Guzmán (1928, *El águila y la serpiente, The Eagle and the Serpent*; 1929, *La sombra del caudillo, The Shadow of the Caudillo*); Nellie Campobello (1931, *Cartucho Cartucho*); Gregorio López y Fuentes (1931, *Campamento, The Encampment*), and others used the genre, in conjunction with large measures of history, biography, and autobiography, to scrutinize the players and power dynamics that had wrought so much violence, as well as the troubles of the post-revolutionary order (see LIFE WRITING). The 1947 publication of Agustín Yáñez's *Al filo del agua* (*The Edge of the Storm*) was a turning point in the nation's narrative, for it fused the novel of the Revolution, which was nationalist in content and realist in style, with the stylistics and thematics of Euro-American MODERNISM, which was making inroads into Spanish American fiction at

the time. Set in a small town on the eve of the civil war, *Al filo del agua* uses poetic techniques and interior monologues to convey the repression and stagnation of life in the town, both of which are shattered by the outbreak of the Revolution. As the war takes place offstage, with only its effects narrated, the novel represents a fundamental shift away from the genre, in which the Revolution was traditionally a protagonist.

In 1955, Juan Rulfo published *Pedro Páramo*, in which voices from the grave narrate fragments of the rise of the eponymous *cacique* or local boss, whose violence and abuse paralyzes the town of Comala. Páramo's rise to power dates to the years of Díaz's regime and his downfall takes place in the aftermath of the Mexican Revolution, but is not a product of its reforms. His trajectory thus allegorizes the failure of the Revolution to bring about change. The novel draws deeply on Octavio Paz's exploration of Mexican character in his seminal essay, *El laberinto de la soledad* (1950/1959, *The Labyrinth of Solitude*). At the same time, the polyphonic structure and themes (e.g., patriarchy, failed paternity, revolution, and the rise of a new social order) are often compared to the work of William Faulkner, in particular, to *Absalom, Absalom!* (1936).

In 1958, Carlos Fuentes took the Mexican literary scene by storm with *La región más transparente* (*Where the Air is Clear*), which drew on John Dos Passos's cinematographic technique and collective protagonist, and which was as much about post-Revolutionary Mexico City as it was about its myriad characters. Over the next few years, Fuentes's fame grew both in Mexico and internationally, and he was instrumental in promoting the Boom in Europe and the U.S. *La muerte de Artemio Cruz* (1962, *The Death of Artemio Cruz*) condenses the first 150 years of Mexican independence into the history of Artemio Cruz and his family. The novel is narrated in first-, second-, and third-person voices from the deathbed of

the patriarch and newspaperman, whose life is emblematic of the post-revolutionary order. It is an inversion of the traditional "life of" story that also pays homage to Orson Welles's movie *Citizen Kane* (1941). The novel also engages with Paz's ideas about Mexican history and his vision of *lo mexicano* (Mexicanness). Like Rulfo's *Pedro Páramo*, *Artemio Cruz* proffers a biting critique of the failure of the post-revolutionary period to bring about change in Mexico. The later novel offers its only hope in the death of Cruz, which coincides with the Cuban Revolution and the hope for political autonomy that it inspired throughout Spanish America. Over the years, Fuentes has maintained a high profile with novels such as *Terra Nostra* (1975, *Terra Nostra*), *Cristóbal Nonato* (1987, *Christopher Unborn*), and *La frontera de cristal* (1995, *The Crystal Frontier*). He has continued to address Mexico's efforts to incorporate its pre-Columbian heritage and to find a place for itself on the world stage. And he has drawn heavily on New-World chroniclers such as Bernal Díaz del Castillo (ca. 1495–1584), using the epic mode of their work to undergird his own, and seeking in parallel fashion to describe the New World and put it into global circulation.

THE 1960s: COUNTERCULTURE, WOMEN'S WRITING, AND OTHER NEW DIRECTIONS IN THE MEXICAN NOVEL

Over the years, other directions can be seen in the trajectory of the Mexican novel. In the 1940s, activist-intellectual José Revueltas published *El luto humano* (1943, *Human Mourning*) and *Los días terrenales* (1949, *Earthly days*), which use PSYCHOLOGICAL analysis and interior monologues to explore CLASS consciousness in the context of a labor strike and the author's tumultuous relationship with the Communist Party, respectively. The late 1950s and 1960s also bore witness to

the emergence of a variety of other voices. Jorge Ibargüengoitia's *Los relámpagos de agosto* (1964, *The Lightning of August*) joined *Pedro Páramo* and *Artemio Cruz* in offering a scathing demythification of the Revolution and other national myths while adding a dimension of satire, humor, and irreverence to the treatment of the former. Ibargüengoitia, along with Salvador Elizondo, Juan García Ponce, and others, were among a group of young writers who dominated the nation's cultural media and were outspoken in their advocacy of cultural internationalism. Their work was experimental and deeply interiorized, sometimes imbued with a sense of altered mental states and often marked by strong erotic tendencies.

Several women writers, most notably Rosario Castellanos, Elena Garro, and Elena Poniatowska, also begin to make a name for themselves during this period. Each of these writers took on the Revolution and its aftermath through the lens of the experiences and social restrictions of female protagonists: Castellanos's *Balún Canán* (1957, *The Nine Guardians*) dealt with indigenous uprisings following post-revolutionary agrarian reforms in Chiapas; Garro focused on the *guerra de los cristeros* (Cristero war) of the late 1920s in *Recuerdos del porvenir* (1962, *Recollections of Things to Come*); and Poniatowska was one of the leaders of the new wave of testimonial writing in Spanish America with *Hasta no verte, Jesús mío* (1969, *Here's to You, Jesus!*), which narrated the experiences of Josefina Bórquez in the Revolution and throughout subsequent decades of Mexican history.

The countercultural movement of the late 1960s is noticeable in the works of the writers known collectively as *la onda*, which began in the mid-1960s and included writers such as José Agustín (1964, *La tumba*, *The Tomb*) and Gustavo Sainz (1965, *Gazapo*, *Gazapo*), most of whom were born between 1938 and 1951. Their work was

profoundly marked by the social upheaval and changes of the 1960s: they rebelled against Mexican culture, looking instead toward Western ideas of modernity, U.S. rock music, and popular culture, and they became deeply involved with the U.S. anti-establishment movements. According to Rachel Adams, *la onda* "was a crucible where transnational popular culture met uneasily with the politics and aesthetics of Mexican nationalism . . . [and where] middle-class teenagers aligned themselves with an international counterculture" (59, 60). Despite a shared interest in cosmopolitan literary and cultural movements, however, *la onda* writers broke from older cosmopolitanists by refusing to engage with master narratives of national identity and history and by espousing popular culture's modes and models. Margo Glantz's 1971 anthology, *Onda y escritura, jóvenes de 20 a 33*, both theorized *la onda* and brought additional prominence to the writers. In addition to being an important critic of Mexican, U.S., and European literature in her own right, Glantz also went on to write an autobiographical narrative, *Las genealogías* (1981, *The Family Tree*), as well as several works of fiction (e.g., 1996, *Apariciones*, *Appearances* and 2002, *El rastro*, *The Wake*), and has received numerous literary prizes and academic fellowships.

The debate over the relationship between literary nationalism and cosmopolitanism was forever changed with the massacre of student protestors by the police and army in Mexico City's Plaza de Tlatelolco on 2 Oct. 1968. Carlos Monsiváis, one of the nation's preeminent cultural critics, and Poniatowska used literary journalism and strategies akin to the U.S.'s "new JOURNALISM" to chronicle these events in their testimonial works, *Días de guardar* (1970, *Days of observance*) and *La noche de Tlatelolco* (1971, *Massacre in Mexico*), respectively. *Mexicanidad* ("what it means to be

Mexican”), a master narrative of Mexican literature since the 1930s, ceased to hold center stage, and writers began to focus instead on the question of socialism, revolution, or democracy; on the role of women; and on popular culture. Women writers who came of age in the 1960s, including Carmen Boullosa, Laura Esquivel, and Ángeles Mastretta, began to publish in the 1980s, to significant popular acclaim. They, too, engaged with Mexican issues such as the Revolution (e.g., Esquivel’s 1989, *Como agua para chocolate*, *Like Water for Chocolate* and Mastretta’s 1986, *Arráncame la vida*, *Mexican Bolero*), the Conquest (e.g., Esquivel’s 2006, *Malinche*, *Malinche*), and Mexico’s colonial past (e.g., Boullosa’s 1994, *Duerme*, *Sleep*), but with irreverence and humor as part of their toolkit for challenging patriarchal narratives of national history. Along with *la onda*, their work moves away from the master narratives of Mexican history, but also—along with contemporary “post-Boom” writers in Latin America—from the totalizing and experimental works of the Boom.

The “crack” generation of the 1990s shared the Boom’s embrace of cosmopolitanism and likewise sought to take formal and aesthetic risks. Perhaps the best-known “crack” novel to date is Volpi’s *En busca de Klingsor* (1999, *In Search of Klingsor*), winner of Spain’s prestigious Biblioteca Breve prize. The novel is a thriller set in postwar Germany about a U.S. physicist who embarks on a military mission to find the head of Nazi atomic research; it is a meditation on the nature of science as well as a search for truth and a study “of the human tendency to construct artificial patterns of order” (Swanson, 98) that is reminiscent of the stories of Jorge Luis Borges, an important precursor of Boom writers. Like Borges, “crack” writers refused to be confined to their national tradition, claiming instead the world as their patrimony. As

Volpi once stated, “We don’t search for our national or Latin American identity in literature. We use literature as a base for expression” (qtd. in LaPorte). This is not to say that the nation is not a concern for “crack” writers. But whereas many Mexican writers of the 1950s and 1960s sought to demonstrate that their literature was inextricably interwoven with both the nation’s autochthonous cultural traditions and Western influences, and drew on cosmopolitanism to open Mexican culture up to new influences, today’s “crack” writers and their contemporaries presuppose a modern national identity and full participation in a global cultural arena. Rather than Mexican writers, then, they aspire to be known, above all, as writers.

SEE ALSO: Dictatorship Novel, Ideology, Latina/o American Novel, Regional Novel.

BIBLIOGRAPHY

- Adams, R. (2004), “Hipsters and *jipitecas*,” *American Literary History* 16(1):58–84.
- Bruce-Novoa, J. (1991), “La novela de la Revolución Mexicana,” *Hispania* 74(1):36–44.
- Brushwood, J.S. (1966), *Mexico in its Novel*.
- LaPorte, N. (2003), “New Era Succeeds Years of Solitude,” *New York Times*, <http://www.ilproquest.com/proquest/> (NYT ProQuest), 4 Jan., consulted 17 Dec. 2009.
- Pereira, A., ed. (2000), *Diccionario de literatura mexicana*.
- Rutherford, J. (1996), “The Novel of the Mexican Revolution,” in *Cambridge History of Latin American Literature*, ed. R. González Echevarría and E. Pupo-Walker, 2 vols.
- Sommer, D. (1991), *Foundational Fictions*.
- Sommers, J. (1968), *After the Storm*.
- Steele, C. (1992), *Politics, Gender, and the Mexican Novel, 1968–1988*.
- Swanson, P. (2005), “The Post-Boom Novel,” in *Cambridge Companion to the Latin American Novel*, ed. E. Kristal.
- Volpi, J., E. Urroz, and I. Padilla (2000), “Manifiesto Crack,” *Lateral. Revista de Cultura*

70, <http://www.lateral-ed.es/tema/>

070manifestocrack.htm

Zolov, E. (1999), *Refried Elvis*.

Mimesis *see* Novel Theory (19th Century); Story/Discourse

Modern Analytic Novel *see* Psychological Novel

Modernism

ROBERT L. CASERIO

The term modernist in the early twentieth century came to mean an iconoclastic response to long-established conventions. (The meaning partly derives from a turn-of-the-century adjective for rebellion against orthodox religious authority.) In the HISTORY of fiction, the modernist novel stands out for the ways in which its content subverts traditions of social order and moral conduct. Complementing the subversive aims, modernist fiction disruptively experiments upon inherited forms of representation, and opposes ordinary or clichéd uses of language and ideas.

In line with such disruption, the Spanish philosopher José Ortega y Gasset, in *The Dehumanization of Art* (1925), defines modernism in terms of abstraction and dehumanization, both of which undermine literary REALISM. Literary realism, according to Ortega, asks its audiences to identify with the persons and experiences it represents, and to overlook the artifice inherent in aesthetic representations. In contrast to the objects of literary realism, an object of modernist art “is artistic only in so far as it is not real. . . . Art has no right to exist if, content to reproduce reality, it uselessly duplicates it.” The modernist, Ortega asserts, is “brazenly set on deforming reality, shattering its human aspect, dehumanizing it” (1968, trans. Helen Weyl, 10, 48, 21).

James Joyce’s *A Portrait of the Artist as a Young Man* (1916) exhibits thematically and formally a characteristically modernist re-

bellion. Its Irish hero refuses to pay service to the conventional assumptions about life, conduct, and meaning that are defined by church, country, and family. Those assumptions require, he discovers, factitious or worn-out constraints on liberty (he feels those constraints operating even in anti-imperialist, nation-centered politics in Ireland). Joyce’s employment of fictional form and verbal ingenuity complements the hero’s rebellion. Flouting readers’ assumptions about storytelling, Joyce undermines narrative itself. By intensively joining free indirect DISCOURSE with a prose equivalent of visual impressionism, and by scrupulously avoiding clichéd language, Joyce’s “portrait” appears to be a prose version of lyric poetry more than a novelistic tale. The innovative development directs a reader to attend to Joyce’s verbal and formal inventiveness. In Joyce’s hands the art of the modernist novel becomes its leading story line, one that competes with, and exceeds, the traditional novel’s investment in characters and events.

To be sure, one must beware of accepting definitions such as Ortega’s or practices such as Joyce’s without qualification. Joyce’s *Finnegans Wake* (1939), which deforms English and seeks to invent a new language altogether, and which certainly shatters fiction’s immediately recognizable human interest, matches what Ortega describes; yet Joyce’s *Portrait* and *Ulysses* (1922) carry on the conventions of literary realism—especially in their evocation of characters with whom readers are invited, all humanistically, to identify—even as they undo those conventions. Nevertheless, paradoxical simultaneity of antithetical aims is an additional hallmark of the modernist novel—and exemplifies a characteristic irony that Ortega also ascribes to modernism.

DISRUPTIVE INNOVATIONS

The modernist novel celebrates deliberate estrangements from established orderings

of life and its meanings. The hero of André Gide's *L'Immoraliste* (1902, *The Immoralist*) willfully yields to antisocial impulses that he discovers in himself. He colludes with a criminal family that poaches on his landed property (which he renounces); and he ruthlessly abandons his mortally ill wife, preferring to explore his bisexual impulses with natives of French colonial Algiers. Henry James's *The Golden Bowl* (1904) represents a complex adultery—between its heroine's husband and her stepmother—without bowing to conventional moral judgments about irregular liaisons; instead, James's narrative replicates the amoral intelligence with which the four parties to the adultery work out their passions. D. H. Lawrence's *Women in Love* (1920) includes a male protagonist who calls marriage “the most repulsive thing on earth” and asserts that “You've got to get rid of the *exclusiveness* of married love. And you've got to admit the unadmitted [sexual] love of man for man” (chap. 25). The heroine of Dorothy Richardson's series of novels, *Pilgrimage* (1915–67), declares that women “*can't* be represented by men. Because by every word they use men and women mean different things” (1927, *Oberland*, 4:92f.). Refusing patriarchal and masculinist domination, the heroine allies herself with socialism and the suffrage movement. True to rebellious modernist inspiration, however, she also later revolts against socialism and feminism, because she considers that progressive political movements, no less than conservative ones, obscure, and betray, her vital experience of being “an unknown timeless being, released from all boundaries, . . . yet still herself” (1931, *Dawn's Left Hand*, 4:364).

To complement the transgressions and transcendences that characterize the content of literary modernism, modernist novels undo narrative's reliance on discernible events. James's stories can pivot on what one of his unfinished novels calls “the force of

the stillness in which nothing happened” (“Sense of the Past,” bk. 2). Gertrude Stein writes that it is necessary “to stand still” in order “to live”; standing still now must replace “what anybody does” as inspiration for “a new way to write a novel” (*Lectures in America*, 1935). Hence Stein's *Three Lives* (1909) and *The Making of Americans* (1925) replace choice and change, actions on which the structure of stories usually depend, with what Stein (converging with Richardson) identifies as changeless “being existing.”

Ulysses might illustrate such novelty. It invokes a likeness to the event-filled EPIC *The Odyssey*, but *Ulysses* reduces epic events to the minute thoughts and routines of ordinary persons on one ordinary day. The gigantic artifice of multiple styles wherewith Joyce represents trivial or banal phenomena in *Ulysses*, and not what “happens” in the novel, is what matters. (The novel's most discernible event is a wife's act of infidelity, but her action is superficial compared to her emotional fidelity to her husband, and to Joyce's evocation of her static being.)

Given the modernist novel's distance from events, it can appear to undo differences between action and description, or between the novel and the essay. The essayistic meditations on history that constitute Thomas Mann's *Der Zauberberg* (1924, *The Magic Mountain*) paradoxically result from its hero's withdrawal from the historical world, and from eventfulness itself, into a timeless space. Similarly replacing narrative with essayistic and descriptive components, Marcel Proust's *À la recherche du temps perdu* (1913–27, *Remembrance of Things Past*) evokes a panoramic social transformation, yet celebrates, despite the temporal extent of a “story” that requires seven volumes to encompass, a surmounting of change and time. When the modernist novel does bring actions to the forefront of what it pictures, it is likely to do so in a way that, in line with “dehumanization,” strips them of coherent or intelligible motivation, as is the

case in Gide's *Les caves du Vatican* (1914, *The Caves of the Vatican*). Its hero murders a man gratuitously, for the sake of exhibiting the accidental nature of all human deeds and the arbitrariness of moral or religious codes that purport to justify actions.

Narration depends upon chronology, and novelists have always used narrative as a time machine, enabling them to move at will back into the past and forward into the future. Modernist fiction adapts this time machine to its own ends, experimenting with temporality, and even smashing the engine—perhaps as a complement to the changed status of events in modernist storytelling. Joseph Conrad's *Nostromo* (1904) tells the history of a South American republic. But with unprecedented audacity the narration leaps backward and forward, simultaneously compressing years and elongating moments, and involving past with present and future, in a way that makes it hard for a reader to grasp history (as Conrad models it) in terms of sequential relations of cause and effect. What can history be said to tell if such relations, as well as the character of TIME, are made uncertain? *Nostromo* makes them uncertain, partly to substitute for them the preeminence of the geography that Conrad invents for the novel. The suggestion is that a modernist vision values atemporal places and spaces more than historical relations (see SPACE, TIME). An even more audacious subversion of chronology organizes Ford Madox Ford's *The Good Soldier* (1915), which implies that the erotic passions portrayed in the novel are impervious to time, and confound historical accounting.

Virginia Woolf's novels exemplify modernist fiction's struggles with time. Mrs. Ramsay in *To the Lighthouse* (1927) might be Woolf's delegate in the text because she represents an author-like way of weaving persons and things into unified relation, endowing them thereby with a story and a history. Yet Mrs. Ramsay also longs for

moments of being that are dissociated from relation and time, "immune from change." Woolf allows the longing to be brutally contradicted. Killing off Mrs. Ramsay, time appears in the narrative as a starkly anti-relational force, decentering and dissolving the novel's unity. Woolf's *The Years* (1937) and *Between the Acts* (1941) continue to dramatize attempts to diminish time's dictatorial regulation of life and narrative. A bold diminution of the regulation is John Dos Passos's *U.S.A.* trilogy (1930–36). Dos Passos traces multiple characters' lives, but does so simultaneously and discontinuously, rarely (and only momentarily) conjoining them. Collaged juxtapositions replace storytelling's conventions. *U.S.A.*'s subversive form complements its underlying allegiance to political anarchism, an IDEOLOGY with which modernism has an affinity.

Modernism transforms character and characterization no less than events. The English modernist Wyndham Lewis's fictions represent character as an absurd phenomenon (for Lewis, "absurdity . . . is at the root of every true philosophy," as he writes in "The Meaning of the Wild Body"). Persons are absurd, because their minds are at odds with their bodies, which Lewis describes as machine-like contraptions. "Men are necessarily comic: for they are all *things*, or physical bodies, behaving as *persons*." Characterizations of the protagonists of Lewis's *Tarr* (1918) and *The Revenge for Love* (1937) evoke the pathos of this comedy. D. H. Lawrence's fiction presents another innovation. "You mustn't look in my novel[s] for the old stable *ego*—of the character," Lawrence explains. His characterizations represent inchoate centers of flux, "according to whose action," he says, "the individual is unrecognizable" (1962, *Collected Letters of D. H. Lawrence*, ed. H. T. Moore, 44). Woolf's *Jacob's Room* (1922), about a young man who is killed in WWI, constructs Jacob's life history as a collage of

sketchy experiences and fleeting ideas that constitutes an essentially unformed person, a near-blank in life and narrative as well as in death. Woolf suggests that none of us is more formed a character than Jacob. The Russian modernist Andrei Bely, in *Peterburg* (1916–22, *Petersburg*), presents character as a perpetual masquerade. Uncanny dislocations of personality result. One of Bely's protagonists is described thus: "he . . . was not [he], but *something* lodged in the brain, looking out from there . . . until it plunged into the abyss" (chap. 3). The abyss provides a paradoxical standpoint for Bely's unsettling narrator, himself a masquerader or confidence-man. Modernist narrators are typically shape-shifters, as experimental in essence as the characters they chronicle. The narrator of Alfred Döblin's *Berlin Alexanderplatz* (1929, *Alexanderplatz, Berlin*) takes on multiple personalities, becoming by turns everything from an external observer to the protagonist to the advertisement hoardings of Berlin.

TRAGIC AND COMIC VISIONS

Realist novels explain human sorrow by assigning its causes to history; naturalist novels explain it by assigning its causes to biology (see NATURALISM). The explanations suggest possibilities of remedy. Modernist novels do not adopt therapeutic explanations. Hence modernist fiction presents its readers with tragic visions that are unusually stark (see COMEDY). *Nostromo* evaluates global capitalism's betrayal of republican governments and of the working classes as an historical outrage; but it also distances itself from approval of any political ideology, and thereby suggests that "history" and "politics" are tragically illusory frameworks of life. Eros as another source of irremediable tragic illusion is explored in *The Good Soldier*. Its narrator believes that sexual love, even in the

case of "normal," respectable people, makes experience "all a darkness" of underlying motives. Franz Kafka's stories and novels witness an equivalent obscurity. His *Der Prozeß* (1925, *The Trial*) features an everyman figure whose life is a senseless undergoing of prosecution for unspecified crimes. Modernism's tragic sense of life is summed up in the hero of Mann's *Dr. Faustus* (1948), a modernist composer. His atonal music, representing modernism's break with convention, is indifferent to harmony and melody. To secure the greatness of his art despite its apparently unmusical basis, the composer appears to make a pact with the devil, from whom he accepts his own dehumanization as the price of his achievement.

Tragedy is not the whole story of modernist fiction, however. With characteristic dissonance, it renders comic visions side by side with tragic ones. In *Del sentimiento trágico de la vida* (1913, *The Tragic Sense of Life in Men and Peoples*) the Spanish modernist man of letters and novelist Miguel de Unamuno argues that tragedy and comedy are two sides of the same coin; "passionate uncertainty" as to which of them most matters is vivifying. The critic Edwin Muir (and first translator of Kafka into English) in *We Moderns* (1920) believes that "tragic art is more profound than morality" because it stimulates "the desire for expression. . . . When [the desire for expression's] rule is . . . obeyed Life reaches its highest degree of joy and pain, and becomes creative. This is the state which is glorified by the tragic poets" ("The Tragic View," 226–27). The creative vitality that Muir describes manifests itself as a comic radiance in modernist novelists whose subject matter promises to be tragic. William Faulkner's *As I Lay Dying* (1930) transfigures poverty, death, deception, and insanity, making them simultaneously comic and tragic, by virtue of Faulkner's modernist will to forge innovative forms of expression for them.

Lawrence's *St. Mawr* (1925) diagnoses the social world it represents as "a new sort of sordidness," alienated from "inward vision and . . . cleaner energy." The novel uses Lawrence's modernist ego-dissolving characterization to express an alternative: a world that will be more alive, "a further created being," supervening upon civilization's tragic arrest.

SEE ALSO: Definitions of the Novel, Historical Novel, History of the Novel, Georg Lukács, Narrative Perspective, Novel Theory (20th Century), Psychological Novel.

BIBLIOGRAPHY

- Adorno, T.W. (1997), *Aesthetic Theory*.
 Caserio, R.L. (1999), *Novel in England 1900–1950*.
 DiBattista, M. (2009), *Imagining Virginia Woolf*.
 Eysteinsson, A. (1990), *Concept of Modernism*.
 Gass, W. (1979), *Fiction and the Figures of Life*.
 Kern, S. (1987), *Culture of Time and Space*.
 Levenson, M. (2005), *Modernism and the Fate of the Individual*.

Modernismo see Caribbean; Central America; Southern Cone (South American)
Moretti, Franco see History of the Novel, Marxist Theory, National Literature

Mythology

WILLIAM BLAZEK

In Don DeLillo's 1985 novel *White Noise*, a sociologist explains the postmodern significance of television: "It's like a myth being born right there in our living room, like something we know in a dreamlike and preconscious way. I'm very enthused, Jack" (51). The passage hints at several of the issues involved in considering the place of mythology in studies of the novel: whether or not it is possible to have a modern myth, how relevant oral storytelling (from which myths are born) is to literary fiction, and what role the preconscious or unconscious self has in either mythology or literature (see PSYCHOAN-

ALYTIC). Perhaps the fact that a contemporary novelist such as DeLillo can reconfigure the novel form through references to mythology and some of its key tenets suggests the enduring importance of myths to human perception and the writer's imagination. Moreover, the novel, especially in the twentieth century, provides examples of the variety of functions served by mythology in the shaping of modern fiction. Depending on how the parameters of myth are defined and on how they are applied to literature, a case could also be made that myth is such a basic and vital aspect of human nature that it infuses the novel structurally, linguistically, and thematically.

Opposing views point to the incompatibility of myths and literature. Northrop Frye (1912–91), one of the main advocates of mythology's crucial stake in the workings of literature and criticism, accepts that the ancient sources of myths appear in muted and degenerated form in literature and that the evolution of literary forms from Greek drama and epic poetry to Romantic poetry and realist fiction also marks the decline of mythology's significance, although he sees a cyclical return to myth in the ironic mode of modernist texts (see MODERNISM). For the Victorian anthropologist Edward B. Tylor, myths concern the external world and have no symbolic, and therefore no immediate literary, value. The twentieth-century American critic Richard Chase (1914–62) considers myths to have been almost completely superseded by literature. Another case against the synthesis of mythology and literature is made by Walter Benjamin (1892–1940), who blames the evolution of the print industry for the loss of an oral storytelling tradition and the wholesome communities that it sustained. In particular, he explains, "The earliest symptom of a process whose end is the decline of storytelling is the rise of the novel at the beginning of modern times," and claims, rather unjustly, that the novel "neither comes from

oral tradition nor goes into it" (87; see HISTORY). Whether literature is understood as leftover myth or the novel as the chief culprit in the decline of myth's storytelling foundations, the relationships outlined here are clearly fraught with controversy, not least because the purlieu of myth are so wide-ranging, and the measurement of mythology's value to the novel depends on how myth is defined and understood by writers, critics, and readers.

THEORIES OF MYTH

Difficulties in defining the meaning and importance of mythology stem from the various ways myth has been applied to different fields of study, notably ANTHROPOLOGY, psychiatry, sociology, and literary criticism.

Anthropology, in the pioneering work of Tylor and James G. Frazer (1854–1941), centers on the dynamic roles and rituals associated with primitive mythology, exploring both the social experience behind mythic beliefs and the symbolic importance of fertility rites and burial practices, for example. Frazer's *The Golden Bough* (1890–1915) catalogs a large number of nature myths, taboos, festivals, customs, and folk practices. The author draws from ancient Egyptian, Greek, and other European traditions in order to prove the intricate practice but also the extinction of magic and religion among what he calls "the primitive savage" (374) and "rude races" (254) before the supremacy of modern science. For Frazer and his follower Jessie L. Weston (1850–1928), myth was a remnant of the past. Nevertheless, Weston's analysis of the Grail legend, *From Ritual to Romance* (1920), proved a key text in the early twentieth-century revival of interest in myth associated with T. S. Eliot's *The Waste Land* (1922). A literary critic with a deep understanding of anthropological theory and practice, Eliot became the dominant force

in promoting a particular elite version of modernism, in large part because his literary art and criticism were linked to contemporary debates about mythology and ethnography. These debates ranged from Frazer's myth-and-ritual inheritors among the Cambridge Hellenists, most notably the classicists Jane Harrison (1850–1928) and Gilbert Murray (1866–1957), to the opposing views of Franz Boas (1858–1942) and Bronislaw Malinowski (1884–1942), founders of the modern science of ethnography and the "functionalist" method of fieldwork, initially among tribal cultures. (Malinowski's *Argonauts of the Western Pacific* was published the same year as *The Waste Land* and James Joyce's *Ulysses*.) The authority of Eliot's vision enabled him to project in his generous and self-serving 1923 review of *Ulysses* that Joyce's "mythical method" would replace traditional narrative and prove "a step toward making the modern world possible for art" (1975, *Selected Prose of T. S. Eliot*, ed. F. Kermode, 178).

Sigmund Freud (1856–1939) found the mythic patterns of Greek drama useful paradigms to explain the symbolism of dreams and to develop theories in psychoanalysis about the role of parents and siblings in the formation of sexuality and the psyche. His rival Carl G. Jung (1875–1961) took a more comprehensive view of the ways that myth might release the potential of the unconscious. He proposed a theory of archetypes, motifs that run through ancient and modern myths—sky gods, for example, are expressed in stories of Zeus or flying saucers. Jung identified the source of archetypes as the "collective unconscious," which he described as the "common psychic substrate of a suprapersonal nature which is present in every one of us" (2). While Jung's interest in mythology was aimed at explaining how archetypes might aid psychological wellbeing, his exhaustive research into mythic symbols and structures influenced literary critics such as Frye and the American "myth

and symbol” school. It also seemed to validate the mythological subject matter chosen by leading modernist novelists such as Thomas Mann and Joyce.

From the mid-twentieth century, Joseph Campbell (1904–87) assimilated Jung’s theory of archetypal images and popularized the study of myth beyond the confines of anthropology and psychiatry. Emphasizing the myth of the heroic quest, Campbell claims in his seminal early work *The Hero with a Thousand Faces*:

It would not be too much to say that myth is the secret opening through which the inexhaustible energies of the cosmos pour into human cultural manifestation. Religions, philosophies, arts, the social forms of primitive and historic man, prime discoveries in science and technology, the very dreams that blister sleep, boil up from the basic, magic ring of myth. (13)

This overarching assertion was further developed in Campbell’s later writings, such as *The Masks of God* (1959–68) and the television series and book entitled *The Power of Myth* (1988), in which he extols the eternal and universal qualities of myth. The romantic appeal of Campbell’s work is described by Robert A. Segal as “fetching” but the theories as being flawed because of their circular arguments, under-analyzed evidence, and mystical nature (138–41). Nevertheless, the generosity of Campbell’s vision of oneness between humans, animals, plants, and sky finds parallels in myth and symbol literature criticism with its tendency to find in narrative texts a wealth of mythic imagery and designs.

The French sociologist and philosopher Roland Barthes (1915–80) would also interpret myths as universal forces, but his aim in *Mythologies* (1957) is mainly to alert readers to the ways that political and social hegemonies can manipulate myths to stultifying effect. Through insightful observations of contemporary life, he develops a way to understand the mechanisms of myth through its historical

layers of meaning—investigating through semiology how, for example, a picture of a black French soldier saluting comes to represent imperial France (see IDEOLOGY, STRUCTURALISM). “Signified” objects and concepts combine with verbal, visual, and auditory “signifiers” to form “signs” that can be read by the semiologist in Barthes’s system, one that aims to liberate the mind to see the world more clearly. Semiology can therefore defend individuals from the passive conservatism promoted by constricting ideologies that manipulate myths in order to dominate and control. Barthes asserts that myth “establishes a blissful clarity” (143) that simplifies the complexities of history, and that “the very end of myths is to immobilize the world” (155). “[N]othing can be safe from myth” (131), he warns, and thus the myth-reader or semiotician serves as a kind of sociolinguistic Knight Templar to protect the oppressed. Barthes essentially views myth as a danger to the good of modern communities. He pays little attention to other theories of mythology and usually ignores ancient myths in his analyses. Myth as it features in ideology is his predominant concern, and in that regard he is closely in tune with literary critics who acknowledge the inextricable ties between ideology and myth in literature.

NORTHROP FRYE: MYTHOLOGY, IDEOLOGY, AND CRITICISM

Northrop Frye, although open to the most wide-ranging applications of myth to literary study, was keenly aware of the ideological attachments to mythology in practice. In *Myth and Metaphor*, he calls literature “the mythological imagination at work in the world” (1991, ed. R. D. Denham, 91). Furthermore, he notes two principal features of the social function of myth: it provides “a vision of the cosmos, constructed from human concern” and it will “be seized on by whatever establishment or

pressure group is in power" (252). In a manner related to both Campbell and Barthes in their reaction to modern political and social norms, Frye defines the role of his profession: "I see it as the essential task of the literary critic to distinguish ideology from myth, to help reconstitute a myth as a language, and to put literature in its proper cultural place as the central link of communication between society and the vision of its primary concerns" (103).

One of Frye's major contributions to this task was to identify key modes of literary myth, first defining myth as "mythos, story, plot, narrative" (*Myth and Metaphor*, 3). From that formal basis he identifies core mythic narratives such as the journey and return, the attendant features of those narratives (including metaphorical associations with nature and the seasons, symbols of death and rebirth, or temporal and spatial shifts that might reflect natural cycles or visionary dreams), as well as mythic symbolism and archetypes. With regard to the latter, he explains how "Moby Dick cannot remain in Melville's novel: he is absorbed into our imaginative experience of leviathans and dragons of the deep from the Old Testament onwards" (*Anatomy*, 100). In his efforts to rescue primary myths from the secondary influence of ideology, Frye observes that primal concerns for a supply of food, sexual reproduction, and communal dwelling can be found in myth's influence on literature across millennia. Examples include archetypically significant scenes in Charlotte Brontë's *Jane Eyre* (1847) following Jane's flight from Rochester and the night she spends alone outdoors, without food or the means to ask for it. Mythic omen and prophecy could be associated with the technical use of foreshadowing (prolepsis) in Leo Tolstoy's *Anna Karenina* (1875–77). While Frye most often draws his examples from British drama and poetry—most frequently William Shakespeare, William Blake

(1757–1827), and John Milton, with special reference to the Bible—he gives space to the novel in his work on myth and literature. His exemplars include Herman Melville, Marcel Proust, and Joyce, notably *Finnegan's Wake* (1939), which reveals "the turning cycle of life, death, and renewal" (*Myth and Metaphor*, 372). Frye's critical studies illustrate that "a work of literature has a structure of myth and a texture of metaphor" (*Myth and Metaphor*, 127). The cultural critic Marc Manganaro examines the authority gained by the rhetorical skills and the comprehensive nature of the work of comparative anthropologists and critics including Fraser, Eliot, Campbell, and Frye, but also notes the conservative strain within these efforts to build a unified system for literary criticism and mythology, a program that cannot escape inherent ideological objectives (1992, *Myth, Rhetoric, and the Voice of Authority*).

THE MYTHOLOGICAL NOVEL

Two critical texts that focus entirely on mythology and the novel are John J. White's *Mythology in the Modern Novel* (1971) and Michael Palencia-Roth's *Myth and the Modern Novel* (1987), and both attempt to explain the resurgence of mythological themes and subject matter, especially in British and European literature, following WWI. A need to reassess the foundations of European culture after the war is one explanation, along with a concurrent rejection of mimetic narrative, the influences of Freud and Jung on the novel's range of psycho-mythic referents, and the imaginative potential offered in playing myth and archetypes against the everyday experiences of modern life. White lists sixty-six entries in his bibliography for "Mythological Novels and Novels with Other Preconfigurations," a term he uses for mythic structures and metaphors in the modern novel (242–45). Among the texts he examines are Mann's *Joseph und seine*

Brüder tetralogy (1933, 1935, 1943, *Joseph and his Brothers*) and *Doktor Faustus* (1947, *Doctor Faustus*), Joyce's *Ulysses* ("the archetypal mythological novel," 30), John Updike's *The Centaur* (1963), Bernard Malamud's *The Natural* (1952), Hermann Hesse's *Demian* (1919), Alberto Moravia's *Il disprezzo* (1954, *Contempt*), and Alain Robbe-Grillet's *Les Gommes* (1953, *The Erasers*). An updated compendium would include texts by ethnic American writers such as Sandra Cisneros, Louise Erdrich, Maxine Hong Kingston, N. Scott Momaday, Toni Morrison, and Amy Tan, novelists who draw upon classic American mythology. Other writers to be added might include Cormac McCarthy (for his reassessments of the frontier myth), writers who use global myths from native or immigrant sources, and writers who mix elements of traditional native or religious myths with the contingencies of contemporary existence.

White focuses on novels that retell classical myths, reference mythology within contemporary settings, or allude to myths. He expresses reservations about an uncritical acceptance of archetypes as central to the mythological novel, acknowledging how Frank Kermode and René Welleck distrust such notions as racial memory in the aftermath of the Holocaust during WWII (78, 104). Palencia-Roth's work is more open to the ideas of Frye and Campbell in incorporating archetypes within his definition of the mythological novel. This inclusiveness allows him to investigate recurrent patterns with mythic associations in three texts, each of which represents one of three types of mythological novels: Gabriel García Márquez's *Cien años de soledad* (1967, *One Hundred Years of Solitude*), a mythification novel; Mann's *Joseph und seine Brüder* (1933, *Joseph and his Brothers*), illustrating demythification; and Joyce's *Ulysses*, a novel about remythification. There are certainly naïve and overzealous examples of archetypal criticism: the American myth and

symbol critics R. W. B. Lewis, Leo Marx, and Henry Nash Smith earned notoriety as well as opprobrium. Nevertheless, a willingness to discern archetypal structures and imagery in the novel has its rewards for the discerning reader.

Creation, flood, journey, and hero myths are the foundational stories for many texts; but on another level an awareness of archetypes and symbols that relate to human sexuality, nourishment, shelter, community, and consciousness all give life to the novel. Furthermore, to associate the writer with the prophet and visionary, as Frye suggests (*Anatomy*, 56, 139), or to connect the experience of reading with a form of eternal time (Palencia-Roth, 86), contributes another dimension to the interpretation of mythology's integral relationship with the novel. Miguel de Cervantes's *Don Quixote* (1605, 1615) undermines the myth of a golden age of chivalry, yet the characters' testing journey is mirrored by the adventure of the reader in following their stories through the construction of the narrative, balancing ideology and myth, rationality and emotion, reality and imagination.

SEE ALSO: Magical Realism, Reading, Religion.

BIBLIOGRAPHY

- Barthes, R. (1957), *Mythologies*, trans. A. Lavers.
 Benjamin, W. (1968), "The Storyteller," in
Illuminations, trans. H. Zorn.
 Campbell, J. (1949), *Hero with a Thousand Faces*.
 Chase, R. (1949), *Quest for Myth*.
 Frazer, J.G. (1922), *Golden Bough*, abridged ed.
 Frye, N. (1957), *Anatomy of Criticism*.
 Jung, C.G. (1969), *Four Archetypes*, trans. R.F.C.
 Hull.
 Palencia-Roth, M. (1987), *Myth and the Modern
 Novel*.
 Segal, R.A. (1999), *Theorizing About Myth*.
 White, J.J. (1971), *Mythology in the Modern
 Novel*.

N

Narratee *see* Reader

Narration

EDWARD MALONEY

The term narration is most commonly understood as the act of telling a story. But there are other relatively common understandings: a synonym for an entire narrative; a description of the verbal medium of narrative fiction; a rhetorical device different from argument, exposition, or description; and as the binary opposite of dialogue. For the purposes of this entry, I will limit myself to a discussion of narration as *the production of a narrative*, including how a narrator tells a story, the context and situation in which this recounting takes place, and the complex dynamics involved in any telling. This definition follows Gérard Genette's tripartite division of narrative into discourse, *STORY*, and narration. Genette separates narrative discourse (*récit*), from the events the discourse purports to recount (*histoire*), and at the same time separates the discursive text from the act of telling (*narration*) that produces the narrative. Despite the usefulness of Genette's distinction, later narratologists often combine the concepts of discourse and narration under the heading "narrative discourse," highlighting the presentation of a story from the story itself. Because of its central role in the presentation of any story, narration involves a number of narrative techniques employed in narrative fiction (e.g., perspective, voice, etc.) and

their related concerns and distinctions. Of course, the novel is not a homogeneous category, and novelists have often pushed the limits of narrative convention in order to produce desired effects. Consequently, our understanding of narration should follow novelistic practice rather than legislate it.

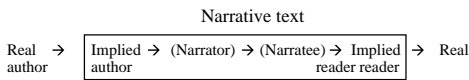
SHOWING VS. TELLING

In *The Rhetoric of Fiction* Wayne Booth argues against the modernist dogma that showing is superior to telling, contending instead that both showing and telling need to be assessed in relation to the needs of individual novels. Nevertheless, Booth's argument underscores the classical distinction between mimesis and diegesis, i.e., the speech of characters as represented by the poet (mimesis) and the speech of the poet (diegesis). In mimesis, the poet seems to record speech as it happens, creating the illusion of showing the actions as they unfold. In diegesis, the poet mediates the events and actions through paraphrase and (re)telling. In the novel, quoted text (meant to indicate the direct representation of speech) and interior monologue (meant to represent the unmediated thoughts of a character) are sometimes seen as mimetic and outside of narration. Booth, Genette, Bal, and others have suggested, however, that pure mimesis in narratives is always an illusion, and that any representation of speech by characters is a narrative act

mediated by a narrator. In Jane Austen's *Emma* (1815), for example, the extensive quoted dialogue is always framed by the narrator's diegetic commentary. Novels that eliminate or efface the narrator and rely on dialogue both to show and to tell can be understood as efforts to escape to eliminate diegesis in favor of mimesis.

WHO SPEAKS?

The first step in understanding the narration in any novel is to address the question, "Who speaks?" In order to identify the complex dynamic involved in answering this question, many narrative theorists have proposed to distinguish among the real author, implied author, and narrator(s). Following the work of Booth, Genette and others, Seymour Chatman identifies the following components of narrative communication:



The implied author is one of the more controversial concepts in narrative theory. Booth develops the implied author as a way of distinguishing between the real author and the persona "he" constructs when writing a narrative, a persona that is visible to the reader in the narrative text as the agent who establishes the cultural and ethical norms of the text. While the debate about the implied author and his or her various relations to the real author and the narrator are outside the scope of this entry, the very distinctions among the three agents of telling indicate that narration is not the direct transmittal of a story

from author to reader. Despite the debate about the value of the concept of the implied author, narrative theorists generally agree that authorial communication in the novel is mediated through the narrator. The author—narrator relation can vary across a wide spectrum. At one end of the spectrum, the narrator may be virtually indistinguishable from the (implied) author, and, at the other end of the spectrum, the narrator may be a fully developed character who has almost nothing in common with the (implied) author. Regardless of where the narrator exists on the spectrum, the answer to the question who speaks, begins with a discussion of the narrator.

One of the initial distinctions we commonly make about a narrator is whether she is a character in the story. In common usage, we often talk about the point of view of a narrator as a way of describing this relationship, and narrators have been referred to as first, third, and occasionally second person, depending on their role in the story. As Genette points out, the problem with this taxonomy is that it conflates voice (who is speaking) with vision or perception (who is seeing or perceiving), which Genette calls focalization. Genette goes on to develop more precise taxonomies of each phenomenon. With voice he separates the question of the narrator's participation in the story from the question of the narrative level at which the telling occurs. With participation, he distinguishes between homodiegetic (participating) and heterodiegetic (non-participating) narrators. With level he distinguishes among extradiegetic (one level above the main action), intradiegetic (within the main action), and hypodiegetic (one level below the main action). Thus we might have a narrator, such as Conrad's Marlow in *Heart of Darkness* (1899) who participates in the story he recounts (homodiegetic), but

whose retrospective telling to his audience on the Nellie is extradiegetic.

In addition to issues of the relationship of a character narrator to the story she is telling, character narration also raises the issue of reliability. Reliability is an especially complicated issue since in most cases of character narration the only direct voice we have in the story is of that character/narrator. How can we determine whether the person telling us the story is to be trusted and in what ways? Perhaps the most important use of Booth's concept of the implied author is in helping us determine the reliability of narration in such cases. If we assume that the implied author establishes the ethical and cultural norms of the narrative, the reliability of the narrator then can be judged in relationship to those norms. This is not always easy, as debates about the reliability of the governess in Henry James's *The Turn of the Screw* (1898) and about the sincerity of Humbert Humbert's condemnation of himself in Vladimir Nabokov's *Lolita* (1965), among many other examples, suggest. It is also possible for narrator to be reliable about some things and unreliable about others. James Phelan has developed a useful taxonomy of reliability, arguing that narrators can be reliable or unreliable reporters of events, interpreters of knowledge or perceptions, or evaluators of ethical or moral issues. In this respect, a narrator may be unreliable because she misreports events. Or, as in the case of *Lolita*, a narrator may report the events accurately, but disregard the ethical values that the implied author has established.

WHO SEES?

Genette identifies different types of focalization, depending on the focalizer's relationship to the story (internal, exter-

nal), whether the focalization is fixed, variable, or multiple, and how the focalizer's intellectual, ethical, and psychological beliefs affect what the focalizer is able to see (Rimmon-Kenan). Consider the opening lines to Jane Austen's *Emma* (1815), where the narrator's particular focalization allows her to comment on Emma Woodhouse's character and qualities: "Emma Woodhouse, handsome, clever, and rich, with a comfortable home and happy disposition, seemed to unite some of the best blessings of existence; and had lived nearly twenty-one years in the world with very little to distress or vex her." Novelists often indicate that the perspective of the focalizing agent is not the same as that of the perspective of the narrator. For example, in Joyce's *A Portrait of the Artist as a Young Man* (1916), the narrator is external (heterodiegetic) and above story level (extradiegetic), but the focalization is through the eyes of Stephen Dedalus: "Once upon a time and a very good time it was there was a moocow coming down along the road and this moocow that was coming down along the road met a nicens little boy named baby tuckoo" (chap. 1). Here we see (i.e., hear) primarily through the perspective of Stephen, even as the voice appears to be a blend of Stephen's and that of someone telling him this story. As the novel progresses, the narrator's focalization grows and changes with Stephen. By the end of the novel Stephen's voice ultimately takes over that of the narrator's in the form of Stephen's journal. The meeting of voice and vision at this moment of the novel highlights Stephen's artistic hopes as he goes off to "to forge in the smithy of my soul the uncreated conscience of my race." In this way, the trajectory of the narration is crucial to Joyce's conveying Stephen's movement toward becoming an artist.

ORDER AND TIME

Novels often imitate nonfiction forms such as the history or biography (Rabinowitz). In this respect, novels are generally understood to recount events that have already taken place. Following Genette, Rimmon-Kenan identifies four classifications of narrative tense representative of different ways that narratives relate to the time of the story. The first, “ulterior” or “prior” narration, is the recounting of events that have already happened. This is the most common form of narration, and we find it in novels such as Austen’s *Emma*. The second, anterior narration, is “predictive” or “subsequent,” and suggests future happenings, such as those in prophecies. In some narratives, the actions and narrative occur “simultaneously,” and in a fourth type of narration, “intercalated” or “interpolated,” the telling and action are not simultaneous but impact each other throughout the narrative. An epistolary novel such as Richardson’s *Clarissa* (1747–48) employs intercalated narration. These types of temporal narrations are often associated with the verb tenses used in the narration. Ulterior and intercalated narrations are most often told in the past tense, though sometimes the historical present is used. Anterior narration is most often told in the future tense, but may involve some form of the present or past tense as well, while simultaneous narration is told in the present tense.

The time of narration is also related to the order in which events are recounted. Genette’s story plane assumes that outside of narration there exists a story that happened in chronological order. How this reconstruction takes place is often affected by the order in which events are told, and can have a significant impact on issues such as suspense and narrative expectations. Narration can reconstruct the story in chronological order or it can employ anachronisms such as

flashback (analepsis) and foreshadowing (prolepsis), and the more complex narratives often play with a combination of narrative order and time. For example, in William Faulkner’s *Absalom, Absalom!* (1936), Quentin Compson’s narration does not order events chronologically. Rather, Quentin unfolds the narrative in sequences that require his narratee (Shreve) and the reader, to piece together details about the Sutpen family and the true story of their history.

SELF-REFLEXIVITY

Finally, it is worth noting that the many of the issues of narration so far discussed have become central concerns of the novel in the twentieth and twenty-first centuries. This type of self-reflexive or metafictional work highlights that act of telling as part of the story (see METAFICTION). In John Fowles’s *The French Lieutenant’s Woman* (1969), for example, the narrator acting as an author not only interrupts the flow of the narration to explain his asplight as the writer of the novel we are reading, but by the end of the book becomes a character in the novel, watching the events unfold much like the reader. This metafictional attention to narration is not new, of course, and we need simply go back to Cervantes or Sterne to see that narration is not only a complex subject but one that has long occupied writers’ imagination and attention.

BIBLIOGRAPHY

- Austen, J. (1815) *Emma*.
 Bal, M. (1997), *Narratology*, 2nd ed.
 Booth, W. C. (1983), *Rhetoric of Fiction*, 2nd ed.
 Chatman, S. (1980), *Story and Discourse*.
 Genette, G. (1980), *Narrative Discourse*, trans. J. Lewin.

- Joyce, J. (1916), *Portrait of the Artist as a Young Man*.
 Phelan, J. (2005), *Living to Tell About It*.
 Rabinowitz, P. (1998), *Before Reading*.
 Rimmon-Kenan, S. (1983), *Narrative Fiction*.

Narrative

H. PORTER ABBOTT

For the question “What is a narrative?” the commonest response is “a story,” and for narrative in general, “the telling of stories.” But the subject is more complicated than this. Story is indeed essential to narrative and is generally understood as having the core properties of an event or events, proceeding chronologically in time, and being conveyed through some medium. But almost immediately differences of opinion arise regarding the first of these core properties. For some scholars only one event, however meager (“The gourd bounced off the wall”), is needed to qualify as a story. It extends the concept of story to almost any instance of discourse involving a verb of action, but at the cost of including many that would not earn the status of a “story” as the word is commonly used. Its advantage is that it identifies a specific cognitive gift—the ability to represent events in time—without which there would be no stories at all, much less narratives.

All other definitions of story are more exclusive, though they all involve this universal building block. In some definitions, for the event to qualify as a story it must result in a change of state (“The gourd fell apart when it bounced off the wall”). For others a succession of at least two events is required (“The gourd fell apart when it bounced off the wall. Night fell as the sun slipped below the horizon”). Still others require that the events be causally connected (“The gourd fell apart when it bounced off the wall, revealing a perfect diamond that began to glow and slowly rise from the

scattered fragments”). Many also require human characters and at least some human agency (“An aged shaman threw the gourd against the wall, causing it to fall apart. The assembled throng gasped as a perfect diamond slowly rose, glowing, from the scattered fragments”). And finally, there are those for whom a story is fully legitimate only when its events follow an arc from equilibrium to disruption and back to equilibrium (“The first star of heaven was born when the last Shaman of the Dark Nights threw a gourd against a wall, causing it to fall apart. The assembled throng gasped as a perfect diamond slowly rose, glowing, from the scattered fragments. Steadily it rose, gathering speed, until at last it came to its rightful place in the sky as the Evening Star”).

Wherever one draws one’s defining line, it is clear that for each succeeding example above there is an increase in “narrativity,” i.e., an increase in the sense that one is apprehending a story. The advantage of narrativity’s “scalar” rather than absolute quality is that, on the one hand, it reflects a reality of the experience of narrative and, on the other, it helps avoid tying the term “narrative” down in ways that are more arbitrary than useful. Narrativity includes, but should not be confused with another scalar feature of narrative, William Labov’s concept of “tellability,” which registers the extent to which a narrative has point, i.e., the extent to which it forestalls the “so what?” response. Narrativity also plays a key role in how we designate longer texts like epics and novels in which narrative elements are intermixed with stretches of description, discussion, poetic rhapsodizing, and other non-narrative modes that interrupt the sequence of events. They earn their status as narrative because there is a sufficient arc of connected action, a sufficient degree of narrativity, to earn that status. This is often a judgment call. Herman Melville’s *Moby-Dick* (1851), for

example, includes a great deal of non-narrative material, yet has a sufficient narrative arc to persuade most readers that it is a novel. Søren Kierkegaard's *Frygt og Bæven* (1843, *Fear and Trembling*), by contrast, is less a novel than an apologue, in which philosophical exposition predominates. While a text like Walter Pater's *Marius the Epicurean* (1885) seems to straddle the line between narrative and philosophical exposition.

CONSECUTION AND CONVEYANCE

So far, we have been focusing on the core element of the event or events, as a key component of any story and the variable element of narrativity in the way events are rendered. But, looking at the second core element of story, the consecution of its events, another complication arises. For where story events always proceed in chronological sequence, they can be narrated out of chronological sequence. In our minds, we restore the proper sequence, even if it is given to us in reverse ("The Evening Star is a perfect diamond. It soared to its rightful place in the heavens from the remnants of a gourd that fell apart when the last Shaman of the Dark Night threw it against a wall"). This is an aspect of narrative that has been compounded by the digital resources of hypertext narrative, where readers themselves may choose different combinations of narrative bits (lexia) to get from one end of the narrative to the other.

This is also a key reason why narrative cannot be the same thing as story. In consequence, most narrative theorists divide narrative into at least two components: the chronological sequence of the events and the sequence in which they are conveyed. Russian formalist critics of the 1920s called the first of these the *fabula* (story) and the second the *sjuzhet* (sometimes translated as "plot") (see [FORMALISM, STORY](#)). For some

theorists it is the complex interplay of these two sequences, the story and the way it is plotted, that is at the heart of the narrative experience. Generally in English, the broader and more inclusive term "discourse" is used instead of "plot" or *sjuzhet*, in which case, to adapt the words of Seymour Chatman, narrative can be defined as the "story-as-discoursed" (43).

This brings us to the third core element of story: that it is always conveyed in some way. We never encounter an unmediated story, never experience it in the way we experience events in life, but always as inflected by the medium through which it is conveyed and by an array of other elements of the discourse, like the order in which events are recounted, the amount of time given to a particular event, the number of times an event is recounted, the eyes through which we see the story, the voice by which we hear it, the sensibility of the narrator, the style deployed. Whether theorists lump all of these mediating factors under the single umbrella term of "narrative discourse" or keep them in separate bundles of concern as medium, plot, narration, or style, they lend their combined effects in broad or subtle strokes as they convey the story.

There are several consequences of the separation of story and discourse. One is that, increasingly, scholars have released the concept of narrative from the necessity of a narrator. The distinction between stories that are told and stories that are enacted is a venerable one that goes back to Plato's distinction in *The Republic* (ca. 380 BCE) between diegesis and mimesis. Some narratologists would still insist that the distinction is significant enough to justify requiring that a narrative have a narrator. But others argue that media like staging and filming, with the elements of directing, acting, camerawork, editing, etc., do essentially what narrators do: convey a story. The separation of story from discourse

also means that stories are “transposable” (Chatman, 20). Stories are told and retold, enacted and reenacted, painted and repainted. The same story can be rendered in prose, in film, and on stage. The life of Christ and numerous other stories of the Bible and MYTHOLOGY have been rendered in all three and in painting as well. There are a host of other media to which stories can be transposed, including ballet, comics, mime, and electronic media.

Another consequence of this separation of story and discourse is that a story seems always to precede the discourse. The logic here is that there must already be a story for it to be conveyed. For this reason most stories are told in the past tense. They are all in their way history, either fictional or nonfictional. The absolute necessity of this has been challenged by Dorrit Cohn (107) in the example of “simultaneous narration” in fiction when it is rendered in the first person (“I throw the gourd against the wall and watch it burst into fragments”). In this mode of narration, Cohn argues, there is no temporal gap between the words and the experience they give voice to. Jonathan Culler has made the larger claim that any story can be said to come after the discourse, since there is no story until the discourse generates it. Moreover, expectations that are aroused by the discourse can play an irresistible role in determining the story’s course of events (169–87).

THE RECOGNITION OF NARRATIVE

Human beings have probably been telling stories for at least 120,000 years. For most of this time, what people thought about the art of storytelling, like most of the stories themselves, is lost to us. But from the earliest recorded commentary up to the 1960s, the analytical reflection on narrative has been largely genre-specific, as it was in Aristotle’s *Poetics* (ca. 335 BCE), which focused not on

narrative per se but on the essential properties of tragedy and COMEDY. Narrative as a phenomenon transcending genre fully emerged as a subject of disciplined study in the 1960s with a constellation of brilliant work by Roland Barthes, Algirdas Julien Greimas, Claude Bremond, Tzvetan Todorov, and others. Christened in 1969 by Todorov as “narratology,” the field was arguably a last efflorescence of the European structuralist tradition. As such, it took as its model Saussurean linguistics, which had already been applied to narrative in the 1920s by the Russian formalists Viktor Shklovsky, Boris Tomashevsky, and Vladimir Propp, whose *Morphology of the Russian Folktale* (1928) was to be a major influence (see FORMALISM; STRUCTURALISM).

The Anglo-American prehistory of narrative theory was also formalist but was confined largely to the novel. It was also less scientific and more oriented toward the craft of fiction, beginning with Henry James’s essay “The Art of Fiction” (1884) and running through work by Virginia Woolf, E. M. Forster, Percy Lubbock, Cleanth Brooks, Robert Penn Warren, William K. Wimsatt, and Kenneth Burke. This work was not displaced by the structuralist onslaught in the 1960s but rather absorbed into the discourse on narrative, along with an array of its own concerns such as repetition, central reflectors, narrative voice, point of view, perspective, showing versus telling, and characterization. Perhaps the most powerful American influence on the future development of narrative theory, however, was Wayne Booth’s *Rhetoric of Fiction* (1961), which itself was a critique of the formalist tradition out of which it came. For Booth, authors had an obligation to their readers to achieve a certain moral clarity, and the formal concepts he introduced (the implied author, reliable and unreliable narrators) were keyed to this concern for the transaction between the

novel and its reader. Booth's rhetorical and ethical concerns have been richly developed by narratologists in the intervening years. More broadly, the work on narrative that has evolved from the 1970s to the present has built a host of other contextual considerations (historical, cultural, social, psychological, ideological) onto its formalist base, while extending its domain into the cognitive inner space of audiences and authors, and outward to narrative modes far from the realms of art.

Though there are those who argue that at some point narratology's structuralist base must give way entirely if we are to progress in our understanding of narrative (Gibson), the implicit near-consensus for now appears to be that with continual adaptation the base will prove strong enough to support a poststructuralist or "post-classical" narratology (Herman, 1999). At the same time, disciplines across the academic spectrum, as well as professional fields like law and medicine, have experienced a "narrative turn," as more and more researchers explore the many and pervasive roles that narrative plays in almost all aspects of life.

NARRATIVE LIMITS

As the study of narrative has expanded our understanding of both its internal complexity and the extent to which it can be found in areas far removed from traditional storytelling, much attention has been given to the question of limits. How much actually happens in the narrative transaction, and where does narrative give way to other modes of expression?

Narrative space

Narrative both tells of events as they transpire in time and is apprehended through time. Narrative desire, intensified through the management of suspense and retardation, is always looking forward to what will

happen next. Accordingly, definitions of narrative have emphasized the element of time, TIME much of the classical work on narrative has implicitly and sometimes explicitly assumed that the anti-type of the narrative arts are the spatial arts (painting, sculpture). But, on the one hand, though this may be true of portraits and still-lives, it neglects the narrative element in much of the representational art in spatial modes. A painting of St. George and the dragon, a sculpture of St. Sebastian, an eighteenth-century genre painting of a girl with a broken pitcher, are each moments in a story in progress. This was an insight that the German aesthetician and dramatist Gotthold Lessing formulated more than 200 years ago in his treatise on the *Laocoön* (1766), but it was largely neglected during the structuralist development of narrative theory.

On the other hand, narrative itself is not so much a purely temporal phenomenon as it is what Mikhail BAKHTIN called "chronotopic" or temporal-spatial. Like the Russian formalists, Bakhtin first developed his theory of the chronotope in the 1920s, and like their theories it, too, lay comparatively dormant until the 1960s. But it is now common to speak of the "storyworld" that a narrative creates, and that grows larger and more complex as a narrative advances in time. In the example above, each advance in narrativity is accompanied by a corresponding increase in our sense of a world with its own inhabitants and geography (indeed, universe), as well as the inner space of thought and feeling that goes on in its inhabitants. Just as we are conscious of ourselves inhabiting an actual world and imagining all kinds of "possible worlds," so a narrative fiction has its own actual world in which fictional people imagine a proliferation of possible worlds (Doležel; Ryan). The common feeling of being "immersed" in fiction or "transported" by it is a feeling of being in a whole other world.

Narrative and abstract expression

The psychologist Jerome Bruner has made the case for two modes of thinking that “are irreducible to one another” (11): narrative and argument. The former deals with human beings in particular situations, the latter with abstractions. Bruner’s distinction echoes a common opposition of narrative and abstraction. For Herman, this is the deep difference between narrative and scientific discourse: “Science explains how in general water freezes when . . . its temperature reaches zero degrees centigrade; but it takes a story to convey what it was like to lose one’s footing on slippery ice one late afternoon in December 2004, under a steel-grey sky” (2007, 3). Though there can be stretches of abstract discourse in the longer narrative genres like the novel and autobiography, it is the sensed preponderance of narrativity that keeps any particular text from being shifted to another, non-narrative, genre. An interesting borderline case is narrative allegory in which each character stands for an abstraction, like Beauty, Strength, and Knowledge in the medieval play *Everyman*. Call it “narrativized abstraction,” but watching the play, the audience becomes immersed in the story. It is the particularity of *Everyman* and his personal engagement in his quest that makes this immersion possible. Authors have at times named their characters with abstract labels, as Charles Dickens did when he named the schoolmaster in *Hard Times* (1845) Mr. M’Choakumchild. But despite the way Dickens telegraphs the idea the schoolmaster stands for, it is his capacity to develop him as a particular character that brings him to life in a way no abstraction can.

Narrative, poetry, and the lyric

Poetry and narrative have also been frequently referred to as opposites. But probably a majority of all narratives ever told or

written have been in poetry, not prose—this would include all the great epics, medieval romances, ballads, European drama up through the Renaissance, and even some novels (David Jones’s *In Parenthesis*, 1937; Vikram Seth’s *The Golden Gate*, 1986). A much more defensible opposition is between narrative and lyric. Lyrical poetry is by definition devoted to the expression of an emotion, whether grief (elegies), veneration (odes), or love (most sonnets). And though lyrics may contain micro-narratives and even undergo a shift in mood (in effect, a change of state), as in the last quatrain or sestet of a sonnet, by and large they tend to be static evocations of emotion rather than vehicles for a story. Here again there are borderline cases like Jeanette Winterson’s short work “The White Room” (2002) or Ann Beattie’s “Snow” (1983), where it is difficult to say whether it is narrative or lyric that predominates.

Narratives and games

A number of other contrasting modes to narrative have been proposed—description, exposition, meditation, instruction—but with the explosion of digital and internet resources, and the hybridization of narrative games, considerable attention has lately been given to the question of how games and narrative differ, if indeed they do. On the face of it, they seem to be distinctly different, a narrative being essentially a representation of an action and a game being a rule-bound contest involving one or more players. A narrative conveys a story that seems to preexist its conveyance; a game is not conveyed but unfolds in the present. A narrative differs from life in the actual world by existing in an imagined storyworld, a game happens in the actual world but differs from life by its containment within arbitrary rules and its unambiguous production of winners and losers.

But “text adventures” and role-playing games (RPGs) take place in a narrative environment. In varying degrees there is a story, apprehended by players who in turn participate through fictional creatures (avatars) they control. With on-line multi-user RPGs, game masters stay several “plot points” ahead of their players, so a story can be said to precede its apprehension in narrative time, though it is “read” through an active process of search and discovery. Moreover, in some multi-user RPGs, much of the action in the story (or game) world is a kind of improvised story production carried on independently by the players’ avatars. Finally, though there are electronic games and on-line RPGs that operate like a competitive sport with a premium on winning, the game aspect of many multi-user RPGs is more like play than sport, taking place in a community atmosphere where “winning” or achieving some kind of goal is less important than having a good time.

The hybridization of narrative and game in multi-user on-line RPGs poses a fascinating challenge to assumptions that are built into customary definitions of narrative. Is the story “conveyed,” or are clues to it simply lying about, waiting to be discovered, and are players more like detectives, unraveling a mystery that has taken place in a storyworld now belonging to the past? Conversely, to what extent is the story as given subsidiary to the storylines that the avatars make up as they go along? If achieving the goal set by the game masters coincides with the full comprehension of the story behind the game, do these two ideas remain conceptually distinct? Or does their conjunction correlate with the feeling one has when finishing a novel—a kind of victory in a solitary game in which the object is to overcome one’s ignorance of what happened? Finally, if much of the action is improvised on the spot in a series of unre-

peatable acts in real time, how different is this from what happens in actions of life itself which are also, in effect, consumed as they are made?

The postmodern narrative

It is difficult to generalize about postmodern narratives, because their range of experimentation is so great, but it is safe to say that many of them challenge our narrative expectations. Some of these involve the violation of narrative levels (metalepsis) as when the author enters his or her novel as a character (John Fowles’s *The French Lieutenant’s Woman*, 1969) or the reader is made a character in the novel (Italo Calvino’s *Se una notte d’inverno un viaggiatore*; 1979, *If on a Winter’s Night a Traveler*); some induce a permanent confusion about what happens in the story (Alain Robbe-Grillet’s *Dans le labyrinthe* (1959, *In the Labyrinth*); some develop forking paths in which worlds contradict each other (Peter Howitt’s film *Sliding Doors*, 1998); some even lack characters (Samuel Beckett’s *The Unnamable*, 1953). There are many more postmodern modes of deliberate narrative frustration, almost all of which challenge narrative theory. In his study of “extreme narration,” Brian Richardson has argued that “the essence” of such fiction “is to elude fixed essence” (140) and has called for a reevaluation of narrative theory from the ground up to address their extraordinary departures from narrative normality.

NARRATIVE POWER: PLOTS AND MASTER PLOTS

The power of narrative to rouse an audience was certainly recognized long before Plato banned the poets from his republic because of their ability to wield that power. For Plato, the storyteller’s art could override

reason and on that account alone, he recommended limiting its use to martial themes when they were needed to defend the republic. For Plato's student, Aristotle, it was precisely the emotional appeal of narrative that gave it cathartic and restorative powers, and a way of lodging wisdom in the heart that abstract reasoning could never achieve. Between them, Plato and Aristotle established two poles within which much of the discussion of narrative effects has played out ever since.

The power of narrative has often been keyed to the way stories conform to one or another plot or story type. "Plot" is a term used in several incompatible ways, but in this sense a plot is a skeletal story that is repeated in one variation or another in any number of distinct narratives. The fact of its repetition is in itself an indication of its power to catalyze strong emotional responses. Some plots in this sense of the word are more universal than others. Narrative versions of the quest story, for example, can be found across cultures and throughout recorded history, from the *Odyssey* (ca. eighth century BCE) to *Saving Private Ryan* (1998). Archetypal theories of story types see in them a reflection of universal structures of the human imagination, as in Northrop Frye's four "generic plots": the comic, the tragic, the romantic, and the ironic (see MYTHOLOGY). As a general rule, however, the more particularized the plot, the more likely it is to be the property of a distinct culture and to deal with issues that are of critical importance to that culture. In many such instances, the plot is a defining feature of a GENRE (literary kind), as in the Jacobean revenge tragedy, the medieval romance, or the saint's life. Genres that have no defining plot, like the novel or the ballad, often have a number of subgenres that are to some degree plot bound: the bildungsroman, the Harlequin romance, the Horatio Alger story, the vampire novel.

The term "master plot" (often used in the discourse on film in the sense of story type) includes a connotation of the ideological power that can be embedded in a popular cultural plot (see IDEOLOGY). The story of Abraham Lincoln (1809–65), from his birth to his presidency, conforms to a master plot that orchestrates major elements of American mythology—the democratic belief that anyone, however impoverished in his origins (the gender is part of the myth), can rise to the highest social position, through the application of his native gifts, hard work, and steadfast determination. Much narrative theory taking FEMINIST or minority viewpoints has stressed the ways in which such stories work to obscure, marginalize, or contain segments of the population by the kinds of roles that come with those plots. Nancy Miller, for example, has shown how the role of "heroine" in plots common to the eighteenth-century novel strictly limited the range of agency and favorable plot paths for women characters. This stood in sharp contrast to the range of behavioral options and power open to the "hero." But it is also possible to achieve rhetorical power by working against received treatments of cultural types and their culturally scripted roles. Much of the immense impact of Richard Wright's *Native Son* when it was published in 1940 derived from the way it took a frightening cultural master plot—the story of sexual and deadly force visited on a white woman by a black man—and opened it up to an inside view that disallowed the narrow psychology sustaining the cultural story.

Our dependency on plots to organize and make sense of events has been extended by Hayden White to the entire domain of historiography. In this view, the writing of history (as opposed to the mere chronicling of one event after another) is inevitably a process of "emplotment," the shaping of what has happened in time according to the requirements of one or another plot drawn

from the cultural repertory. This is a cognitive operation, however, that must be concealed from consciousness in order for history to succeed as nonfiction. The necessary illusion of history as a plot-free apprehension of reality, harmonizes with Jean-François Lyotard's concept of the *grand récit* ("master narrative"). This is the overarching "meta-narrative" that permits storytelling to pass as knowledge. The Enlightenment idea of progress through the application of reason and a disciplined process of empirical testing and verification, for example, is in Lyotard's view the master narrative that permits science to pass as an objective encounter with reality rather than a narrative art. As might be expected, the views of White and Lyotard have been the subject of intense debate.

Master plots of human development were fundamental to the work of Freud, Jung, and other early architects of PSYCHOANALYTIC theory and practice. With an event structure keyed to traumatic moments of early childhood, and a powerful posttraumatic determining power, such plots were assumed to be universal and thus to be the deep structures of stories endlessly recurring in dreams, literature, and the other arts. Freud's master plot of male development took its name from the most famous of Greek tragedies, Sophocles's *Oedipus Rex* (ca. 429 BCE) and therapy itself became a mode of narrative inquiry. More recently, Bruno Bettelheim focused on the critical role fairy tales play in childhood development, while psychologists like Jerome Bruner, Katherine Nelson, Oliver Sacks, Bettelheim, the historian Carolyn Steedman, and others have, in their different ways, featured the developmental importance of situating oneself within one's own narrative (see LIFE WRITING).

In these and many other ways, the power of narrative in our own lives and in almost every aspect of culture and society, has been intensively researched and, no doubt, will continue to be.

BIBLIOGRAPHY

- Bakhtin, M.M. (1981), *Dialogic Imagination*, ed. M. Holquist, trans. C. Emerson and M. Holquist.
- Barthes, R. (1977), "Introduction to the Structural Analysis of Narratives," in *Image Music Text*, trans. S. Heath.
- Booth, W. C. (1961), *Rhetoric of Fiction*.
- Bremond, C. (1973), *Logique du récit*.
- Bruner, J. (1986), *Actual Minds, Possible Worlds*.
- Chatman, S. (1978), *Story and Discourse*.
- Cohn, D. (1999), *Distinction of Fiction*.
- Culler, J. (1981), *Pursuit of Signs*.
- Doležel, L. (1998), *Heterocosmica*.
- Frye, N. (1957), *Anatomy of Criticism*.
- Gibson, A. (1996), *Towards a Postmodern Theory of Narrative*.
- Greimas, A. J. (1983), *Structural Semantics*, trans. D. McDowell, et al.
- Herman, D. (1997), "Scripts, Sequences, and Stories," PMLA 112:1046–59.
- Herman, D. (2007), "Introduction," in *Cambridge Companion to Narrative*, ed. D. Herman.
- James, H. (1956), "The Art of Fiction," in *Future of the Novel*, ed. L. Edel.
- Labov, W. (1972), "Transformation of Experience in Narrative Syntax," in *Language in the Inner City*.
- Lyotard, J.-F. (1979), *Postmodern Condition*, trans. G. Bennington and B. Massumi.
- Miller, N. (1980), *Heroine's Text*.
- Propp, V. (1968), *Morphology of the Russian Folktale*, trans. L. Scott, 2nd ed.
- Richardson, B. (2006), *Unnatural Voices*.
- Ryan, M.L. (1991), *Possible Worlds, Artificial Intelligence, and Narrative Theory*.
- Todorov, T. (1968), "La Grammaire du récit," *Langages* 3(12):94–102.
- White, H. (1987), *Content of the Form*.

Narrative Form *see* Time

Narrative Perspective

MICHAEL BELL

If narrative perspective, in its most general meaning, is the angle from which the subject is viewed, then it is clearly one of the most

significant factors governing a novel's representation of its world. Indeed, it can on occasion virtually constitute the subject of the narrative. Henry James, for example, records that the "germ" of *The Spoils of Poynton* (1897) was given him as a reported situation in which a wealthy, cultured widow, with a much-loved only son and a house full of beautiful objects, faced the prospect of passing the inheritance to a pushy, philistine daughter-in-law. The situation only came alive for James's novelistic imagination, however, when he imagined it from the viewpoint of a new, invented character, a young woman of intelligent sensibility and deeply in love with the son, who, for those very reasons, is unable to use the sharp elbows of her rival. Through her consciousness, the very crudeness of the external situation as James first heard it is transmuted into an anguished internal drama.

In the case of James's novel, the initial process of creative exploration and the final dramatic realization of the narrative are at once highly self-conscious and consummately achieved, but precisely the success of such an achievement can disguise the difficulties and complexities that are involved in the notion of narrative perspective. For although "perspective" is in the first instance a visual term, it has metaphorical senses extending through several levels, from the dramatic to the moral and the philosophical. For that reason it is helpful first to distinguish the technical aspect of narrative perspective from these possibly more important, yet also more elusive, dimensions.

By the technical aspect here is meant the literal "point of view" of the narration, which can be to some extent concretely, even linguistically, defined: a story may be told, for example, in the first person, or the third person, or in "free indirect speech," known in French as *style indirect libre*, and in German as *Erlebte Rede* (see DISCOURSE).

"Point of view" in this sense has become an acknowledged term of art for literary critics and, while such narrative choices are clearly important for the writer and the critically reflective reader, they can be analytically misleading and critically distracting owing to the widespread impact of what might be called the "technical fallacy." The modern literary academy was largely founded in the period of early twentieth-century MODERNISM, and was decisively influenced by the self-conscious concern for technique in writers like Henry James and James Joyce; the generation of writers in whom the novel itself achieved a fully recognized status as an artistic GENRE. Explication of such technique became a central activity in the teaching of literature and, because it is technical and demonstrable, it is eminently teachable even where neither the teacher nor the students have a profound literary responsiveness or demanding critical sense. The outcome is a recurrent overinvestment in the notion of technique, as if the NARRATIVE TECHNIQUE as such could produce the moral intelligence of the work, or provide an adequate locus for a critical understanding of it. Mark Schorer's influential essay "Technique as Discovery" (1948) and Wayne Booth's much later *The Rhetoric of Fiction* (1961) variously exemplify this tendency. Both attempted a reading of D. H. Lawrence's *Sons and Lovers* (1913), seeking to expose the weakness of the novel as a failure to maintain a consistent point of view with respect to the central character, Paul Morel. Many years later both revised their perception of the novel as they came to realize that, despite its possible faults in this regard, Lawrence was actually attempting a more subtle, and shifting, relation to his material and his characters. In other words, there is, indeed, a problem of moral perspective in *Sons and Lovers*, a certain *parti pris* for Paul Morel, but consideration of the novel's narrative

technique, while a significant part of the necessary analysis, does not adequately catch the nature of Lawrence's struggle with his material. Of course, this remains a matter of judgment in any given instance, but the general point is that the technical point of view is not necessarily a complete index of the narrative's overall moral perspective, and on occasion these might even be at odds whether through artistic failure or through deliberate irony. What follows, therefore, are some classic but varied instances of the importance of narrative perspective.

As the *Sons and Lovers* case suggests, the especially difficult instances for the control of narrative perspective are likely to be those in which a highly personal, individual emotional condition is of the essence. This was evident in one of the early, and formative, European novels, Johann Wolfgang von Goethe's *Die Leiden des jungen Werthers* (1774, *The Sorrows of the Young Werther*). Goethe's novel arose partly from his own experience of romantic attraction to a young woman betrothed to his friend, but it was also a critical reflection on the contemporary fashion of sensibility, the excessive value placed on feeling; a fashion which was associated especially with the influence of Jean-Jacques Rousseau. The narrative is made up of a series of letters written by Werther up to the point of his suicide and, in contrast to other EPISTOLARY novels of the period, the reader sees no replies to Werther's letters so that the narrative reinforces his moral and emotional self-enclosure. The novel was a great popular success, but readers overwhelmingly identified with Werther and sympathized with his fate as a romantic tragedy rather than as the moral warning that Goethe intended. Indeed, this was the conventional, and approved, response to the literature of sensibility at the time. Readers were invited to identify with figures of virtue in distress. Accordingly, Goethe modified the text and

gave weight to an editorial figure who not only assembles the letters but gives a third-person conclusion to the narrative. But Goethe's difficulty, apart from the possible seduction of his own autobiographical involvement in a similar situation (see LIFE WRITING), was that the intensity of Werther's emotional subjectivity is necessary to the story. Without that, the critical perception of him would have no point, or be merely banal. Goethe needed to be fully inside the contemporary man of feeling in order to subject him to an immanent critique. Not surprisingly, perhaps, Goethe's next novel, *Wilhelm Meisters Lehrjahre* (1796, *Wilhelm Meister's Apprenticeship*), is narrated in the third person and with an overt irony in the manner of Henry Fielding's *Tom Jones* (1749). Yet despite this radical change, the final balance of approval and critique in the story of Wilhelm's education also remains highly elusive, albeit now for quite different reasons. As the defining instance of the BILDUNGSROMAN, the novel enacts a belief in fruitful, perhaps necessary, error on the part of the hero and, more importantly perhaps, it celebrates the elusiveness of authentic individual development to general moral judgment. Hence Goethe's ironic narrative perspective tends to suspend rather than enforce authorial judgment.

George Eliot admired Goethe's novel and defended its trusting naturalism against Victorian charges of amorality. She saw a deeper and more intrinsic morality at work in it and, although Eliot herself was more overtly moralistic than Goethe, she strove, within her own conception, to achieve something comparable by extending the moral sympathies of readers (see REALISM). Hence the dramatic highlights of her novels, and their overall NARRATIVE STRUCTURES, often turn on sympathetic connections across widely different human types. The two parallel narratives of *Daniel Deronda* (1876), for example, are held together by the purely

sympathetic connection between Gwendolen Harleth and Daniel Deronda; a connection that is the more pointed for their lacking a shared narrative or the motive of sexual attraction. Likewise, Dorothea Brooke's generous visit to Rosamund Vincy, while believing her to be the successful rival for Will Ladislaw's love, is one of the cardinal moments of *Middlemarch* (1871–72). Moreover, in one of her famous reflections, Eliot explicitly thematizes the narrative perspective of her novel as an extension of the reader's moral sympathy. Having drawn the reader into the process of Dorothea's idealistic and dutiful acceptance of the dreadful pedant Edward Casaubon as her husband, the narrator starts chapter 29 with an abrupt turn to ask, "why always Dorothea? Was her point of view the only possible one with regard to this marriage?" And Eliot goes on to show that the pitiful, insecure, repressed Casaubon has his own particular anguish. In another famous aside, in chapter 15, the narrator contrasts the narrative perspective of *Middlemarch* with that of Henry Fielding. Whereas Fielding is imaged as the theatrical spectator who sits in a fixed position in his armchair and yet can expose all of the action as a matter of leisured generalization, Eliot's narrative has to follow more minutely the hidden, "interwoven" connections of the action and characters. The moral or psychological correlative of this difference is that whereas Fielding, like many of his contemporaries, tended to contrast virtue with conscious villainy and hypocrisy, Eliot was concerned rather with the subtle forms of self-deception. Hence, while Eliot's moralism is very different from Goethe's naturalism, it has a comparable elusiveness of final judgment.

The great nineteenth-century novels, such as Eliot's, tend to be multi-perspectival. They show the lives of selected individuals, many of them perhaps unknown to each other, while also building up an image of

the social and historical whole by which these lives are conditioned. This latter aspect involves a more elusive kind of narrative perspective understood now as the total worldview or social interpretation produced by the symbolic rhetoric of the work. Charles Dickens, for example, does this through powerful images such as the law in *Bleak House* (1853). Also, within his Shakespearean comic subplots, his minor characters act as expositions of themes left implicit in the major characters. The effect is like an engineer's exploded diagram revealing the internal relations of a complex system. By contrast, Honoré de Balzac typically gives a sense of underground connections which can never be brought fully to light but only glimpsed in characters such as Vautrin, the underworld villain who passes for an honest citizen. Leo Tolstoy, meanwhile, creates a sense of natural process to which the characters must intuitively attune themselves, as Konstantin Levin learns to do in *Anna Karenina* (1877), or else suffer the consequences essentially from the process itself. By the end of the century, however, writers were less confident in such overall models of the world or society and the increasingly deterministic, scientific conception known as NATURALISM seemed too limited. Another important factor here is the growing awareness of CLASS as a difference in moral understanding. The confident moral perspective of Fielding was a class confidence, so that although his narrative encompassed all levels of society, it did so from an essentially genteel perspective. By contrast, for a late nineteenth-century writer like George Gissing even the poetic wholeness of the Dickensian novel began to seem untenable.

Accordingly, the modernist generation sought different modes of imaginative wholeness and some of them produced remarkable fictions based on a double narrative perspective (see MODERNISM). On the one hand, the fiction of Joyce, Lawrence,

Marcel Proust, or Virginia Woolf was highly subjective in its representation of the world through the processes of individual consciousness. Yet at the same time the very elements that pass apparently randomly through this consciousness are constructing, for the reader, an aesthetic or mythic whole which provides the ultimate narrative perspective of the book. In this line of modernist fiction, the world is typically not so much an external given to be mimetically represented, as a construction of the human mind for which the construction of the book is a direct analogue or working example. The human mind, that is to say, does not create material existence, but it transposes it into what Rainer Maria Rilke called the *bedeutende Welt*, the interpreted or meaningful world. Hence, the dual narrative perspective of these modernist works respects both the immediate randomness of experience for the character and the secret, world-creating order of the whole.

The ambition for a novel to create a narrative perspective out of its own substance rather than by reflecting an independently given worldview had its first powerful articulation in the proto-modernist Gustave Flaubert. In a famous letter, he spoke of the desire, albeit an impossible one, to write a book about nothing, a work suspended purely by its own style. Of course, as T. S. Eliot (1888–1965) pointed out, the nineteenth-century notion of “art for art’s sake” was, if taken literally, either banal or incoherent. Otherwise, it is the image of a moral attitude to life, as Flaubert evidently understood, and for him it represented a famous ideal of impersonality *vis-à-vis* the subject matter of the work. Flaubert’s posture of narrative indifference is both genuine and a feint: in its refusal of a conventionally sentimental response it invites a reflective compassion from the reader, and a major element in that reflection is an atheistical awareness of the indifferent universe which

this narrative posture represents. Flaubert drew especially on premodern literary models, models predating the eighteenth-century’s sentimental turn which so strongly governed the formation of the European novel, and he would have appreciated one of world literature’s most startling uses of narrative perspective. Toward the end of Geoffrey Chaucer’s *Troilus and Criseyde* (ca. 1385), the departing spirit of the dead Troilus pauses at the outermost sphere of the medieval cosmos and looks back, with a new detachment, on the world it has just left behind. This is a Flaubertian moment *avant la lettre*.

It is evident, then, in all these novels that narrative perspective is not a readily isolable aspect but a subtly total outcome of the work’s subject, structure, and style. For that reason, the question of narrative perspective throws some light on a radical problem posed by Henry James. Much as he admired their achievement, James deprecated what he saw as a lack of artistry in the “loose, baggy monsters” of his nineteenth-century predecessors such as George Eliot. He spoke of the novelist’s need to draw a bounding line, which must not seem merely arbitrary, around the potential infinity of relations that extend outward from any novelistic subject. Laurence Sterne’s *roman-fleuve*, *Tristram Shandy* (1759–67, is the classic comic enactment of this difficulty. Where does the story of a life start, where does it finish, and what does it include? Where the understanding, or the meaning, of a life are in question, even birth and death are conventional rather than intrinsic limits. But that is to conceive the question too externally, perhaps, as one of imposing limits. The image of perspective as the ordering of visual representation developed in the European Renaissance has a different implication. Perspective is an internally intrinsic way of organizing not just what we see but what we infer without seeing.

The perspectival standpoint determines the limits of the vision or of what needs to be represented. Of all novelists, James had perhaps the most conscious sense of how narrative perspective governs by an internal, organic logic the process of shaping and selection by which the work is created.

SEE ALSO: Adaptation/Appropriation, Closure, Cognitive Theory, Frame, Story/Discourse.

BIBLIOGRAPHY

- Booth, W.C. (1991), *Rhetoric of Fiction*, 2nd ed.
 Chamberlain, D.F. (1990), *Narrative Perspective in Fiction*.
 Cohn, D. (1978), *Transparent Minds*.
 Hühn, P., W. Schmid, and J. Schonert, eds. (2009), *Point of View, Perspective and Focalization*.
 James, H. (1978), *Art of the Novel*.
 Scholes, R. and R. Kellogg (1996), *Nature of Narrative*.

Narrative Structure

KATHERINE SAUNDERS NASH

Narrative structure is the set of relations among the constituent parts of a narrative, as well as between those parts and the narrative as a whole. Narrative structure has proven a vital if elusive object of study for narrative theorists, in part because of the relationship between structure and narrative competence. Narrative competence is the intuitive grasp of conventions and distinctions that allows audiences to recognize certain productions as stories, to identify the essential units of those stories, and, with those units in mind, to read, retell, paraphrase, expand, evaluate, and interpret the stories. It means recognizing sequences such as, for example, a rags-to-riches plot in different forms: a film, a pantomime,

a comic strip, a novel. Narrative competence permits audiences even with widely divergent backgrounds, in dissimilar contexts, to have similar intuitions about stories, and often to agree on basic—and even complex—rules by which stories operate.

As an outgrowth of FORMALISM and STRUCTURALISM, narratology (a term used here interchangeably with narrative theory) sought from its inception in the 1960s to explain narrative competence by determining a system of units and rules that underlies all narratives, the structure of relations on which the meaning of human productions is predicated. As Roland Barthes puts it, rather starkly, in his “Introduction to the Structural Analysis of Narratives,” “[E]ither a narrative is merely a random collection of events, in which case nothing can be said about it other than by referring back to the storyteller’s (the author’s) art, talent, or genius . . . or else it shares with other narratives a common structure which is open to analysis.” Without that common narrative structure, Barthes declares, story production and reception both would be “impossible” (1966, 82). Study of narrative competence was, at least in the early years of narratology (known as its “classical” phase), inseparable from analysis of narrative structure. This entry will examine the progressive understanding of narrative structure afforded by narratology, first in its classical and then in its postclassical phases. As the notion of narrative competence has evolved, so has the concept of narrative structure.

DEEP AND SURFACE STRUCTURES

One salient feature of most early models of narrative structure is their reliance on binaries. Structuralism borrows several key concepts from Saussurean LINGUISTICS, chief among them the distinction between *langue* and *parole* (see STRUCTURALISM, POSTSTRUCTURALISM). *Langue* is a system,

a network of rules underlying a language, whereas *parole* is the individual manifestations of that language in speech and writing. This binary operates by distinguishing an abstract concept from a specific iteration of that concept. Noam Chomsky's "competence" and "performance" (1965, *Aspects of the Theory of Syntax*) operates in the same way, as do several of the binaries used to describe narrative structure. For instance, theorists such as Algirdas Julien Greimas differentiate a narrative's immanent level, at which story is an abstract and autonomous concept, a sequence of events, from its apparent level, which is that story mediated and manifested in a particular text. Whereas immanent versus apparent emphasizes a hierarchy of accessibility (signaling the structuralists' interest in comparing deep and surface levels, as discussed below), Gérard Genette's distinction between *histoire* (story) and *récit* (text) discards the structuralists' sense of hierarchy and focuses instead on juxtaposing virtual stories with actual written expressions of those stories. The Russian formalists' pairing of *fabula* (fable) with *sjuzhet* (plot), by contrast, emphasizes the process of selection and design, particularly sequential arrangement; *sjuzhet* is the strategic organization of certain events in a particular order (i.e., not necessarily the original chronology), whereas *fabula* is the complete story, the story-world in its totality: all possible settings, characters, and a chronology of all events, from which the *sjuzhet* is selected. In all three binaries, the first term (immanent level, *histoire*, *fabula*) represents a plentiful and inclusive entity that has the potential to give rise to a multitude of unique iterations (apparent level, *récit*, *sjuzhet*).

In the 1960s, 1970s, and early 1980s, narratologists strove to characterize narrative structure as scientifically as possible. Setting aside questions of hermeneutic interpretation, theorists tried to determine

what all and only narratives have in common, to offer taxonomies of narrative rules, and, ultimately, to establish narrative grammars. To accomplish these goals they needed to codify rules by which narrative structure operates on both surface and deep levels. Vladimir Propp's formal analysis of nearly two hundred Russian folktales provided one influential model of surface narrative structure. From that analysis he derived a total of thirty-one functions, or significant constituent events, which appeared recurrently throughout the folktales in regular sequences, though no one story contained all thirty-one functions. Propp's analysis reveals three central insights: (1) that certain functions always appear together, always in the same order; (2) that functions are more fundamental to narrative structure than characters, since the characters performing the functions change from one story to the next; and (3) that functions, as invariable components of a narrative, are crucially different from variable or inessential ones. On the last point Propp's work parallels Boris Tomashevsky's distinction between bound (or plot-relevant) and free (non-plot-relevant) motifs, Barthes's (1966) nuclei and catalyzers, and Seymour Chatman's kernels and satellites.

Claude Lévi-Strauss's theory of mythic structure became the basis for understanding deep narrative structure. According to him, analyzing myths selected from different cultures can reveal insights into the way narrative competence operates worldwide. By treating myths as *parole*, and individual cultures' variations on those myths as *langue*, one could deduce that the same four-part homology underlies all myths (A is to B as C is to D) and that, owing to that deep structural unity, people from dissimilar cultures could nonetheless understand one another's myths (see also Culler).

Greimas, expanding on both Propp and Lévi-Strauss, proposes an actantial model to

represent both deep and surface structures. Actants are fundamental roles in a narrative trajectory, located at a narrative's deep level, whereas actors populate the narrative's surface level. Greimas's original actantial model includes six actants: subject, object, sender, receiver, helper, and opponent. The actors who fulfill those roles, however, might vary in number and scope: several actors might occupy a single actantial role, and several actantial roles might apply to a single actor.

Like any other semiotic system, the hierarchical model of narrative structure begs the question of how deep structures are converted into surface structures to produce meaning. To answer this question, some narratologists worked toward establishing narrative grammars, which would enumerate the finite number of rules governing the combination and functioning of narrative units, explaining the production of all possible narratives. Narrative grammars are designed to explain how narrative structure and narrative competence are interdependent within a given context of semiotic conventions. Grammars depend in part on paradigmatic and syntagmatic analysis. Paradigmatic analysis examines deep structural units that may be substituted for one another in static, logical equations, but which are mutually exclusive (e.g., Greimas's semiotic squares). Syntagmatic analysis pertains to coexistent surface structural units (e.g., Propp's functions or Greimas's actors) that may be grouped together according to a variety of temporal or causal principles. Greimas, for instance, proposes three kinds of syntagms: performative (tests and struggles), contractual, and disjunctive (related to departures, returns, and displacements). Other types of narrative grammar include structuralist models that focus on the syntax and semantics of plot (Pavel), generative-transformational models that account for both story and discourse (Prince), and story

grammars that draw on research done by cognitive psychologists and specialists in artificial intelligence (Mandler and Johnson). By the mid-1980s, however, most narratologists and linguists alike concluded that the grammars produced to date had inadequate explanatory power. In the field of narratology, the rise of interest in discourse and plot dynamics reflected a widespread desire for a more supple theoretical model of narrative competence.

POSTCLASSICAL STRUCTURES

Early models of narrative structure focus more on story than on discourse, more on what the narrative depicts than on how it is depicted (see *STORY*). While they do not exclude discourse-related topics, such as the ordering of events in the *sjuzhet*, they demonstrate the structuralists' heavy reliance on the assumption that a story and its rendering are separable. As the field of narratology gained momentum and moved beyond its structuralist origin, many followed Genette's example in theorizing extensively and productively about narrative discourse, particularly order, duration, frequency, mood, and voice. Chatman's model proved particularly influential in the evolution from classical to postclassical concepts of structure, as he demonstrated that story and discourse may both be mapped on a single diagram of narrative structure. Chatman brings together structuralist units of narrative content (such as events, existents) and Genette's work on narrative expression. He demonstrates that content and expression, though theoretically separable, are functionally interdependent, and that our understanding of narrative structure must reflect that. Further, he depicts structure as a process of transmission (see diagram in *NARRATION*). Two of the postclassical phase's major innovations appear in this model: the inclusion of

audience in the structure itself, and a shift from models of narrative structure as essentially static to fundamentally dynamic.

Whereas classical (structuralist) narratology identifies structural units by their generic function, postclassical narratology concentrates more closely on the relationships those units have to one another and to the reader. Moreover, what constitutes a structural unit changes considerably after the heyday of structuralism. The structure of a narrative comes to be seen as something that unfolds progressively through the act of reading, rather than as a stable construct independent of the reader's vantage. Theorists such as Edward Said, Susan Winnett, and Peter Brooks consider plot to be of primary importance in dynamically structuring both the narrative and the reader's experience, though they differ respectively on whether the wellspring of a plot's energy appears at its beginning, middle, or end. (Brooks's model of end-driven narrative structure takes up the old challenge of explaining deep structure: he posits a correspondence between plot dynamics and Freud's theories about desire and the death drive.) Elements that create suspense, delay, divagation, and indeterminacy figure prominently in postclassical narrative structure, particularly as they are deployed to amplify readerly desire. Theorists such as Wolfgang Iser and Meir Sternberg demonstrate the importance of information gaps as structuring devices that encourage the implied reader to fill in blanks, anticipate further developments, and retrospectively assess meaning in the course of reading. Poststructuralists, on the other hand, look not for unity but for instability and open-endedness, declaring that if structure exists anywhere, it resides in the reader's mind. Barthes's (1974) theory of writerly texts posits a vital interplay between the reader's reversible, revisable interpretations and "textual signifiers," each identifiable by

one of five codes (hermeneutic, semiotic, proairetic, symbolic, and cultural). The writerly text allows a reader to paraphrase her reading comprehension through a series of labels as she decodes the text, but more importantly, it permits her to revise some labels as her reading progresses.

As theoretical approaches to narrative have multiplied in recent years, maintaining consistent terms and definitions has become increasingly difficult. However, two major methodologies appear poised to establish long-lasting criteria for understanding narrative structure through narrative competence: COGNITIVE and rhetorical narrative theories. Cognitive narratologists study the neurological processes involved in narrative competence, including but not restricted to perception, memory, language use, and knowledge. Research in psychology and artificial intelligence has yielded useful data about how we mentally structure our reading experience (e.g., Fludernik; Herman; Jahn), including the use of our theory of mind, or mind-reading abilities (e.g., Zunshine). Marie-Laure Ryan applies semantics and AI to her theory of the way we mentally construct storyworlds. And theorists such as Alan Palmer study cognition in fictional minds, rescuing characters' sophisticated thought processes from the rather coarse categories to which they had been consigned by structuralist analysis.

The rhetorical approach defines narrative as a communicative act—"Somebody telling somebody else on some occasion and for some purpose(s) that something happened" (Phelan)—and examines the nuanced roles of both speaker (real author, implied author, narrator) and audience (real reader, authorial audience, narrative audience, narratee) (Rabinowitz, 2006). James Phelan posits that narrative is structured according to its progression, which he defines as the simultaneous development of plot

dynamics—including the mimetic, thematic, and synthetic dimensions of character construction—with the development of readerly dynamics: the audience's cognitive, affective, ethical, and aesthetic experiences as they arise from the audience's sequence of interpretive, ethical, and aesthetic judgments. Readerly judgments, especially those that occur early in a narrative, are necessarily revisable—not, as for Barthes, because of textual indeterminacy, but because the experience of reading fiction is based on a recursive relationship, constantly unfolding, among author, text, and reader. The rhetorical model of progression draws on Wayne C. Booth's theories about the way authors implicitly and explicitly shape their readers' desires in fiction, and on Rabinowitz's (1987) demonstration that narrative and textual features activate expectations we already have before reading a given text. Rabinowitz shows that our mastery of the tacit rules by which narratives operate corresponds not to a *langue* of narrative structure but to a vast set of conventions shared by authors and readers alike.

BIBLIOGRAPHY

- Barthes, R. (1977), "Introduction to the Structural Analysis of Narratives," in *Image-Music-Text*, trans. S. Heath.
- Barthes, R. (1974), *S/Z*.
- Booth, W.C. (1983), *Rhetoric of Fiction*, 2nd ed.
- Brooks, P. (1984), *Reading for the Plot*.
- Chatman, S. (1978), *Story and Discourse*.
- Culler, J. (1975), *Structuralist Poetics*.
- Fludernik, M. (1996), *Towards a "Natural" Narratology*.
- Genette, G. (1980), *Narrative Discourse*, trans. J. Lewin.
- Greimas, A.J. (1983), *Structural Semantics*.
- Herman, D. (2002), *Story Logic*.
- Iser, W. (1974), *Implied Reader*.
- Jahn, M. (1997), "Frames, References, and the Reading of Third-Person Narratives," *Poetics Today* 18: 441–68.
- Lévi-Strauss, C. (1968), *Structural Anthropology*.
- Mandler, J.M. and N. Johnson (1977), "Remembrance of Things Parsed," *Cognitive Psychology* 9:111–51.
- Palmer, A. (2004), *Fictional Minds*.
- Pavel, T. (1985), *Poetics of Plot*.
- Phelan, J. (2007), *Experiencing Fiction*.
- Prince, G. (1973), *Grammar of Stories*.
- Propp, V. (1968), *Morphology of the Folktale*.
- Rabinowitz, P.J. (1977), "Truth in Fiction," *Critical Inquiry* 4:121–41.
- Rabinowitz, P.J. (1987), *Before Reading*.
- Ryan, M.-L. (1991), *Possible Worlds, Artificial Intelligence, and Narrative Theory*.
- Said, E.W. (1975), *Beginnings*.
- Sternberg, M. (1978), *Expositional Modes and Temporal Ordering in Fiction*.
- Tomashevsky, B. (1965 [1925]), "Thematics," in *Russian Formalist Criticism*, ed. L. T. Lemon and M. J. Reis.
- Winnett, S. (1990), "Coming Unstrung," *PMLA* 105: 505–18.
- Zunshine, L. (2006), *Why We Read Fiction*.

Narrative Technique

JAMES PHELAN

Narrative technique is the umbrella term for the multiple devices of storytelling. In the terms of narratology's distinction between story and discourse or the what and the how of narrative, narrative technique is a rough synonym for discourse. Narrative technique is so central to our understanding of storytelling that, throughout history, theorists of narrative in general (e.g., Aristotle in the *Poetics*, ca. 335 BCE) or the novel in particular (e.g., Henry Fielding in his Preface to *Joseph Andrews*, 1742) invariably comment on it. But ever since Henry James wrote his Prefaces to the New York edition of his novels (1909–10), theorists have paid increasing attention to the subject, as they have proposed and debated various ways of achieving a more adequate understanding of its workings. Here I will focus on four key concepts: transmission, temporality, vision, and voice.

NARRATIVE TRANSMISSION

Seymour Chatman (1978), building on the work of Wayne C. Booth (1983), Gerald Prince, and Gérard Genette (1972, 1980), among others, developed an influential model of communication that traces transmission from author to reader through the textual intermediaries of the implied author, narrator, narratee, and implied reader (see diagram in *NARRATION*).

“Implied author” is Booth’s term for the version of herself that the real author constructs through her choices in writing the narrative; the “narrator” is the teller of the tale; the “narratee” is the audience (characterized or uncharacterized) addressed by the narrator; and the “implied reader” is the ideal audience addressed by the implied author.

Not surprisingly, Chatman’s model has been contested in various ways. Some theorists, including Genette (1988), argue that the implied author is an unnecessary concept. Some, including Phelan (2005), endorse the concept but argue that it should be located outside the text in order to signal the implied author’s role as the agent who produces the text. Others, including Richard Walsh, adopt a “no narrator” position, arguing that the author is the teller unless the novel employs a character narrator (2007, *Rhetoric of Fictionality*). There is more consensus about the audience side of the model, but Peter J. Rabinowitz has made a strong case for the explanatory value of the “narrative audience” as distinct from the narratee (1976, “Truth in Fiction,” *Critical Inquiry* 4:121–41). Whereas the narratee is a textual construct identifiable through the teller’s address, the narrative audience is a role the real audience takes on as it assumes an observer position in the story-world and regards the characters and events as real. In a novel with a characterized

narratee, the concepts of narratee and narrative audience nicely complement each other. In Emily Brontë’s *Wuthering Heights*, Nelly Dean tells her tale to Lockwood, the outsider who does not believe in ghosts, while the narrative audience listens in and concludes that in this world ghosts roam the moors.

The various disagreements with Chatman’s model nevertheless reinforce its value as a useful starting point in analyzing narrative technique. A more significant objection is that the model neglects the role of characters as independent agents of transmission because it subsumes dialogue under the narrator’s reporting to the narratee. One task for the future, then, is to remedy this flaw in the model.

TEMPORALITY

Genette (1980) offers what is still the most influential analysis of techniques for representing time, as he compares time in the story to time in the discourse under the rubrics of *order*, *duration*, and *frequency*. Order refers to the relation between the chronological sequence of the story events and the sequence in which they appear in the discourse. In some novels there is a close match, but in others the discourse significantly rearranges the story order by means of analepsis (flashback), as in Nelly’s narration in *Wuthering Heights* (Emily Brontë, 1847) or prolepsis (flashforward) (as in chap. 3 of Ian McEwan’s *Atonement* (2001), when the temporal location of the narration suddenly jumps from 1935 to “six decades later.”) Duration refers to the relation between the length of time an event takes and the amount of space given to it in the novel. The events of many years can be narrated in a single sentence, and an event that takes a few seconds can be narrated over

many pages. Frequency refers to the relation between the number of times an event occurs and the number of times it is narrated. Singulative narration recounts once what happens once: "Reader, I married him" (Charlotte Brontë, 1847, *Jane Eyre*); iterative narration recounts once an event that occurs many times: "Every morning the world flung itself over and exposed itself to the sun" (Zora Neale Hurston, 1937, *Their Eyes Were Watching God*). Repeating narration reports multiple times an event that happens once, as in Joseph Heller's revisiting of the scene of Snowden's death in *Catch-22* (1961).

David Herman (2002, *Story Logic*) has built on and revised Genette's work by noting that not all novels allow us to specify fully the temporal relations between story and discourse. In such cases we have what Herman calls "fuzzy temporality." Brian Richardson (2007, *Unnatural Voices*) goes further and argues that Genette's model does not work well for what he calls the "unnatural narration" of novels that eschew mimesis in favor of other effects and that deliberately frustrate any efforts to find a clear sequence of story events.

VISION

Genette (1980) astutely observes that the term "point of view" conflates two different concepts, voice (the answer to the question, "who speaks or tells?") and vision ("who sees or perceives?"), an observation that paved the way for more precise understandings of author—narrator—character—audience relationships. Genette proposed a taxonomy of three kinds of vision or what he called focalization, based on the ratio between the narrator's knowledge and characters' knowledge. In zero (or free) focalization, the narrator's knowledge exceeds that of the characters (e.g., the first

chapter of *Bleak House*). In internal focalization, the narrator's knowledge is equal to the character's knowledge (e.g., James's center of consciousness narration). In external focalization, the narrator's knowledge is less than the character's knowledge because the narrator does not have access to the character's consciousness (e.g., Dashiell Hammett, 1930, *The Maltese Falcon*—Genette's example).

Virtually all theorists accept Genette's initial distinction between vision and voice, but many have sought to improve his specific account of vision. Mieke Bal, for example, pays more attention to the agent and the object of focalization. This attention reduces Genette's three types of focalization to two: that by the narrator (zero and external focalization) and that by the character (internal focalization). Other theorists such as Chatman (1990) object to regarding both narrators and characters as focalizers since that conception violates the boundary between story (the realm of characters) and discourse (the realm of narrators). Still other theorists such as Phelan and Manfred Jahn side with Bal rather than Chatman. Phelan (2005) suggests that rather than basing a taxonomy of focalization on ratios of knowledge between narrator and character we should base it on the possible combinations of their visions and voices: narrator's focalization and voice; character's focalization and voice; character's focalization, narrator's voice; narrator's focalization, character's voice; and blends of vision and voice as in much free indirect discourse. Jahn emphasizes that focalization can vary along a spectrum from weakly to strongly located, and that it can be either on-line (about objects immediately within the perceptual frame) or off-line (about objects outside that frame). Jahn also notes that perception is not simply visual, a point that Herman has developed in suggesting that theorists replace the term focalization

with the term conceptualization, which would include the cognitive activities associated with all aspects of our embodied human experience. Like Herman, Alan Palmer moves beyond focalization as he emphasizes what he calls the thought-action continuum and the way representations of characters' consciousness can be indicated by descriptions of behavior as well as thought (2010, *Social Minds in the Novel*). In addition, he calls attention to novelistic representations of intermental (or group) thinking, and, thus, identifies the "social mind" of many novels.

VOICE

Genette (1980), with characteristic insight, points out that a taxonomy of narrators based on grammatical person is imprecise because any narrator can use the first-person. He proposes an alternative model, his Diegetic Family Tree, that seeks precision by attending to the crisscrossing branches of (1) the narrator's participation in the action (participants are homodiegetic and nonparticipants heterodiegetic) and (2) location along various narrative levels. The level at which the main action takes place is the diegetic; narration at that level (e.g., Nelly's telling to Lockwood) is intradiegetic; narration above (about) that level (e.g., George Eliot's narrator's telling to the uncharacterized narratee in *Middlemarch*, 1871–72) is extradiegetic; and narration embedded within the diegetic level (a character narrating a story told by a different character) is hypodiegetic. Thus, different combinations of participation and level are possible: the *Middlemarch* narrator is heterodiegetic—extradiegetic, while Jane Eyre's retrospection marks her as homodiegetic—extradiegetic. A character who narrates a story about others (e.g., Sam Spade's account of Flitcraft in *The Maltese Falcon*) is heterodiegetic-in-

tradiegetic, while one who narrates a story about himself (e.g., the Man of the Hill in Henry Fielding's *Tom Jones*, 1749) is homodiegetic-intradiegetic.

Mikhail BAKHTIN work on voice goes beyond concerns with form to those of IDEOLOGY. His core principles are that any use of language always carries with it some ideological force and that the novel is the genre characterized by the interaction of multiple voices and their attendant ideologies (heteroglossia). More particularly, he examines what he calls double-voiced discourse, narration in which a single utterance contains two voices. In the first sentence of *Pride and Prejudice* (1813), "It is a truth universally acknowledged that a single man in possession of a good fortune must be in want of a wife," Jane Austen juxtaposes the voice of someone such as Mrs. Bennet who would utter the statement as gospel, and that of someone such as Mr. Bennet, or of course Austen herself, who would utter it ironically and thereby undermine the ideological values implicit in the first voice.

Bakhtin's concept of double-voicing connects nicely with Booth's concept of distance as a key variable in our understanding of the relationships among authors, narrators, and audiences. In Austen's sentence author, narrator, and implied reader stand together as they distance themselves from the ideology of the literal statement. In unreliable narration, on Booth's account, implied author and implied reader stand together as they distance themselves from the narrator. Phelan (2005) has extended Booth's model by observing that because narrators perform three main functions—reporting about facts, characters, and events; interpreting those entities; and evaluating them—they can be unreliable by underreporting or misreporting, underinterpreting or misinterpreting, and underevaluating or misevaluating. In addition, Phelan (2007a) argues that any one kind of

unreliability can either increase or decrease the interpretive, affective, or ethical distance between narrator and implied reader, and, thus, the effects of unreliability can range along a spectrum from strong bonding at one end to extreme estranging at the other.

FEMINIST theorists combine Genette's interest in the formal dimensions of voice with Bakhtin's interest in its political and ideological dimensions as they consider the gender politics of technique. Robyn Warhol (1989, *Gendered Interventions*) analyzes direct address by heterodiegetic narrators to their narratees in nineteenth-century British fiction and finds a pattern of "engaging" addresses by female authors and "distancing" addresses by male authors. Susan S. Lanser (1992, *Fictions of Authority*) argues that narrative authority is a function of both the rhetorical and social properties of any given voice, and she analyzes the various strategies—and the attendant risks—that women authors have employed to claim or to eschew authority in different cultural and historical contexts. Alison Case (1999, *Plotting Women*) identifies and explores the formal and political dimensions of "feminine" narration in the eighteenth- and nineteenth-century British novel, i.e., narration by a narrator, male or female, who is unable either to plot or to preach, unable to shape the tale into a well-designed configuration with a central thematic point.

CONCLUSION

The careful study of narrative technique that began with James continues to develop as theorists carry out such projects as exploring the links between technique and ethics (see Booth, 1988; Newton, 1995, *Narrative Ethics*; Phelan, 2007a) and analyzing the various phenomena of unnatural narration. Since narrative technique is so central to the art and power of the novel and since nove-

lists themselves continue to invent new ways of telling stories, we can expect the past century's close attention to narrative technique to continue into the foreseeable future.

BIBLIOGRAPHY

- Bakhtin, M.M. (1981), "Discourse in the Novel," in *Dialogic Imagination*, trans. C. Emerson.
- Bal, M. (2009), *Narratology*, trans. C. van Boheemen, 3rd ed.
- Booth, W.C. (1988), *Company We Keep*.
- Booth, W.C. (1983), *Rhetoric of Fiction*, 2nd ed.
- Chatman, S. (1990), *Coming to Terms*.
- Chatman, S. (1978), *Story and Discourse*.
- Genette, G. (1972), *Figures III*.
- Genette, G. (1980), *Narrative Discourse*, trans. J. Lewin.
- Genette, G. (1988), *Narrative Discourse Revisited*, trans. J. Lewin.
- Herman, D. (2009), "Beyond Voice and Vision," in *Point of View, Perspective, Focalization*, ed. P. Hühn, W. Schmid, and J. Schönert.
- Jahn, M. (2007), "Focalization," in *Cambridge Companion to Narrative*, ed. D. Herman.
- Phelan, J. (2005), *Living to Tell about It*.
- Phelan, J. (2007a), "Estranging Unreliability, Bonding Unreliability, and the Ethics of *Lolita*," *Narrative* 15: 222–38.
- Phelan, J. (2007b), *Experiencing Fiction*.
- Prince, G. (1973), "Introduction à l'étude du narrataire," *Poétique* 14:178–96.

Narratology see Narration; Narrative; Narrative Structure; Narrative Technique; Story/Discourse

Narrator

PAUL McCORMICK

Narrator refers to the mediating agent through whom an author presents a narrative. To the question, who tells?, the answer is always "the narrator." (However, there is a minority position that argues for versions

of the “no-narrator theory,” explained later.) But importantly, it is not always the answer to the other key question of narration in a novel, through whose perception do we understand the story? That is a question of point of view or focalization, for the narrator may tell the story not through his or her own perspective, but rather through those of characters in the story’s world.

Authors assign narrators specific features in order to achieve specific effects, and much research about narrators entails distinctions among their possible features. In fact, a more specialized definition of a narrator is: a collection of various features (traits, beliefs, ethics, linguistic habits, and ultimately functions) assigned by an author to a designated storyteller. Distinguishing among different types of narrators allows readers to better understand the selection of features from which authors can choose and why they select and combine certain features. In general, two critical concepts have proven particularly useful in conceptualizing the possible relations among those features and effects: the Proteus Principle and the concept of narrative situations. Meir Sternberg’s Proteus Principle states that “there are no package deals in narration” because there are “many-to-many correspondences between linguistic form and representational function” (1982, 112). With respect to narrators, the Proteus Principle indicates that any particular narrative feature may lead to a wide range of narrative effects because the effects depend not just on that feature but also on many other elements of narrative. In a way, the Proteus Principle helps to qualify and balance the concepts of narrators and of narrative situations as previously developed in classical studies by Gérard Genette and Franz Stanzel. For Stanzel, a narrative situation conceptualizes narrators as bundles or arrangements of different features relating to their identity, point of view, and degree of intrusion.

While different features can lead to different effects, understanding how different features are often bundled together allows readers to compare the similarities and differences among different types of narrators and offers a point of reference for generalizing about the sort of effects authors have historically achieved with different combinations of narrator features.

Accordingly, this entry begins by describing two fundamental ways of distinguishing among narrators: identifying a given narrator’s participation in *STORY* and the level of her narration in relation to the primary action-level (Genette, 227–62). Then, the article uses three sections to discuss Stanzel’s three narrative situations: authorial, figural, first-person—and some larger issues related to each.

NARRATOR PARTICIPATION AND NARRATIVE LEVELS

A fundamental distinction of novelistic technique is whether a given narrator is participatory (and physically present) or non-participatory (and physically absent) in the story she is telling (see *NARRATIVE TECHNIQUE*). In the past and less frequently today, this distinction was often roughly made by both authors and critics who relied on a grammatical opposition between “third-person” and “first-person” narrators. However, as Genette points out, this grammatically based taxonomy is too imprecise because any narrator can use the first-person and almost all use the third. Genette suggests that a better way of making the appropriate distinction is to distinguish between narrators who are able to participate in the narrated action (homodiegetic) and those who are not (heterodiegetic). In addition to participation, Genette identifies narrative levels as another key variable influencing a narrator’s telling. Here, I prefer the

term *external narrator* to replace heterodiegetic narrator (third-person) and *character narrator* to replace homodiegetic narrator (first-person).

The distinction between external and character narrators is essential because it is tied to their respective epistemological privileges. The storyworld non-participation of external narrators can correlate to a privileged and even unworldly knowledge of characters and events; e.g., some external narrators have full and unmediated access to the interior mental and emotional states of several characters. In contrast, the realistic conventions of character narration usually demand that these narrators restrict their reports to what they witnessed or can retrospectively infer from their experiences in the storyworld. Character narrators can be very knowledgeable indeed, even with respect to the inner lives of other characters. However, character narrators' special knowledge of the inner workings of other characters must be justified (i.e., motivated, naturalized) or readers may suspect their claims of knowledge. In contrast, it is a literary convention that external narrators may have complete and reliable access to the inner lives of characters without explanation (see DISCOURSE). If an external narrator quotes a character's thought, readers typically take the quotation as wholly accurate.

The concept of narrative level places acts of narrating (and thus individual narrators) and narrated stories in relation to the entire narrative of which they are parts. There may be many narrating acts and many narrated stories in one novel, and consequently many narrative levels and narrators, which narrative theorists have proposed various terminologies to describe and analyze. Here I draw primarily upon Genette's model to outline a procedural approach for placing narrators on narrative levels. The first step is to determine whether a narrator is an external narrator or a character narrator. The

second step is to identify the primary action-level of a novel, often called its diegesis in reference to Genettian vocabulary. For example, Genette uses the term extradiegetic to signal a narrator once-removed from this primary action-level, and intradiegetic to signal a narrator telling a story on that primary action-level. However, I prefer to speak in terms of *remove* from the primary action-level while retaining Genette's concepts. For example in Gustave Flaubert's *Madame Bovary* (1857), Rodolphe's seduction of Emma Bovary is part of the primary action-level (pt. II, chap. 9); this narrative level should be distinguished from the one occupied by the external narrator; it should also be distinguished from the world and actions described in *Lucie de Lammermoor*, an opera which Emma attends (pt. II, chap. 15). The third step is to ask whether the narrator is narrating the main level of action at one remove (a narrator at one-remove) or if the narrating act occurs at the same level as the primary action-level (a narrator at zero-remove). In other words, at how many removes is a particular narrator from the novel's primary action-line?

Once these first three steps are completed, readers can execute the final step of identifying what level a particular external or character narrator occupies. For example, George Eliot's external narrator in *Middlemarch* (1871–72) operates at a single remove from the primary action-line (external narrator at one-remove). While Joseph Conrad's Marlow functions as a character-narrator in *Heart of Darkness* (1902), he also narrates at one-remove because he retrospectively narrates the novel's primary action-line (character narrator at one-remove). Both external and character narrators can also narrate at zero-remove. For example, in James Joyce's short story, "The Two Gallants" (1914), Corley narrates on the same narrative level as the primary action-line when he tells Lenehan how he

first seduced the maid he will meet later, so Lenehan is a character narrator at zero-remove from the primary action-level (but one-remove from his story about the maid). Compare this to the “Hades” episode of Joyce’s *Ulysses* (1922) when Martin Cunningham tells Mr. Power that Rudolph Virag poisoned himself (6:529). Martin was a non-participant in the story of Virag’s suicide, but it occurs on the same narrative level as his current ride to the cemetery. So in this instance, Martin Cunningham functions as an external narrator at zero-remove. These four combinations of narrative features are Genette’s version of narrative situations because they represent four common combinations of types of narrators and narrative levels. However, Genette notes that other options exist in novels with multiple narrative levels. For example, narrators can be several times removed from the primary action-line (e.g. narrators at twice-remove). In addition, several narrators can exist at the same narrative level, as in the first three narrators of William Faulkner’s 1929 *The Sound and the Fury* (serial narrators). In each case, however, the primary action-line (the diegesis) is the baseline from which all distinctions regarding narrative level are made.

EXTERNAL NARRATORS AND THE AUTHORIAL NARRATIVE SITUATION

The negative correlation between story participation and story knowledge is strong enough that the two most famous studies of narrators differ on what primarily defines an external narrator: Are narrators of novels like William Makepeace Thackeray’s *Vanity Fair* (1848), Anthony Trollope’s *Barchester Towers* (1857), and Henry Fielding’s *Tom Jones* (1749) defined by their non-participation in the story or by their unworldly knowledge (omniscience)? Generally, as in

this entry, the distinction between participation and non-participation is held to distinguish external narrators and character narrators, respectively. But when Franz Stanzel offers his classic definition of the authorial narrative situation, he has good reason to discuss a prototypical external narrator (his “authorial” narrator) as one whose unworldly knowledge or omniscience is her primary trait. In his model, the opposite of an authorial narrator is not a character narrator, but a limited point of view. Certain external narrators like those of *Vanity Fair* and *Tom Jones* do seem to flaunt their omniscience to the point where it becomes their dominant characteristic, and controlling the knowledge of both characters and readers is crucial to authors’ narrative techniques. However as Dorrit Cohn (1978) notes, unworldly knowledge means that the narrator exists out of the world, that in some sense the unworldly perspective of Stanzel’s authorial narrator means that she is also Genette’s non-participatory narrator. Still, there are gradations of omniscience among external narrators who are primarily defined by their non-participation in the storyworld. While non-participation/participation is key to discerning between external narrators and character narrators, the difference between Genette and Stanzel reminds us that non-participation is often bundled with privileged knowledge, to varying degrees.

Traditionally called “omniscient narrators” in Anglo-American literary criticism are the external, once-removed narrators like those of *Vanity Fair*, *Middlemarch* or Leo Tolstoy’s *Voyná I mir* (1865–69, *War and Peace*) that offer “inside views” of many characters in the storyworld, often commenting on the narrative world and reporting not just characters’ actions, speech, and writing, but also their emotions and cognition. As Stanzel observed, these narrators were particularly popular in nineteenth-

century Euro-American novels and less popular in the twentieth century. However, Stanzel prefers the term “authorial narrator” to refer to such narrators, and the terminological value of “omniscient narration” has been recently contested. Detractors of the term consider it a sloppy analogy with untenable theological freight because we do not know the characteristics of any deity to make the comparison (e.g., Culler); however, its supporters note that many authors have made the same analogy of “godlike” powers and that some external narrators do exercise unusual and even divine knowledge as mediators of the narrative world (e.g., Olson). Salman Rushdie’s novel *The Satanic Verses* (1988) offers a good example of a contemporary author having some fun with the concept of omniscience when his external narrator says, “I know the truth, obviously. I watched the whole thing. As to omnipresence and -potence, I’m making no claims at present, but I can manage this much, I hope. Chamcha willed it and Farishta did what was willed. Which was the miracle worker? Of what type—angelic, satanic—was Farishta’s song? Who am I? Let’s put it this way: who has the best tunes?” (pt. 1, sec. 1). Although sometimes, as in the case of *Satanic Verses*, the connection between some narrators and omniscience deserves exploration, most external narrators offer inside views of only selected characters.

Stanzel’s term *authorial* narration also suggests how the greater epistemological privilege enjoyed by external narrators and removed narrators (once-remove or more) can conventionally signal closer proximity between the implied judgments, norms, and ethics of the author and those of the narrator. But this also helps to explain why twentieth-century authors tend to use external narration less frequently than nineteenth-century authors. In the middle of the twentieth century, Percy Lubbock used the terms “showing” versus “telling” to

discuss the same distinction as it pertains to the novel. For Lubbock, the journals of Henry James revealed a prescriptive difference between the two: showing is always preferable to a narrator telling. What Lubbock meant was that a story should be presented as if unmediated by the presence and opinion of a narrator, that a dramatic style of presentation was best. However, Wayne Booth made two influential observations in reply, first, that an omniscient narrator who uses intrusive commentary to comment upon the story is often just as appropriate and artistic for a particular story, and second, that strictly speaking, showing in the novel genre is impossible anyways because some agent must mediate or narrate the action. Today, the distinction between direct and indirect speech and thought representation is not prescriptive but descriptive and often analytically so: identifying whether speech and thought is represented directly or indirectly can often provide important information about the narrator, including the specific relations between the narrator and a given character.

Narrators represent and communicate ethics, history, and politics as well as epistemology when authors select and combine their features. When Mikhail BAKHTIN’S influential scholarship was first widely received in the U.S. in the 1980s, it became clear that a specialized formal study of narrators could be strengthened by studying the historical and ideological inflections of narrators and their discourses (see IDEOLOGY). As Brian McHale puts it, “Of course, it is precisely his insistence on historicizing language, on restoring it to its place in a historically contingent social realm, that has made Bakhtin so congenial to so many varieties of historicist and contextualist theory in our own time” (63). For example, FEMINIST narratologists have made significant contributions to “the study of narrative

structures and strategies in the context of cultural constructions of gender” (Warhol, 21) with a Bakhtinian-inflected dual interest in history and form. Many of these studies have broad implications for the study of narrators. For example, Susan Lanser (1992) has shown how women writers can use the authority conventionally granted to external narrators to establish their discursive authority but also to question the origins of that authority. Robyn Warhol has made an influential distinction between external *distancing* narrators who discourage the actual reader from identifying with the narratee (the textual recipient of the narrator’s telling), and external *engaging* narrators who encourage actual readers to identify with the narratee. Building upon the foundational work of D. A. Miller and Gerald Prince, respectively, Warhol has recently detailed how classifying and attending to what narrators do not narrate, what she calls “the unnarrated,” often reveals much about authorial purpose, social norms, and GENRE identification. A wide variety of historical approaches, including those of feminist narratology, have helped to clarify the implications of various narrator features for actual authors and readers.

External narrators can be dramatized to different degrees, and often they do not self-identify their GENDER, RACE, ethnicity, SEXUALITY, etc. Ungendered narrators pose an additional practical problem for literary criticism—how should one refer to the narrator if she or he is left ungendered and unnamed, as in Austen’s *Emma* (1815)? As a result, many scholars follow what has become known as Lanser’s rule: In the absence of any text-internal clues to the narrator’s sex, use the pronoun appropriate to the author’s sex. Assume that the narrator is male if the author is male, and that the narrator is female if the author is female (Lanser, 1981, 166–8). This rule is not without its complications, for it adds personal

qualities to the narrator that the author apparently did not specify, and disambiguates what the author may have left purposely ambiguous. All the same, it is sometimes awkward to discuss a hypothetical narrator, which is why I alternate between he and she in this article. Lanser’s rule makes for easier practical reference and also sets a standard that can be challenged in appropriate cases.

However, the existence of such a rule evokes more significant questions, especially for external narrators. For example, should narrators be interpreted anthropomorphically when there is little textual support for such an interpretive decision? In other words, should one assume that external narrators are always somehow human and attribute to them full human qualities? And why always assume the presence of a narrator (human-like or not) instead of attributing the narration directly to the author (implied or otherwise)? The answers to these questions can depend upon the particular narrative in question: e.g., on the degree of the narrator’s consciousness of their narration, whether the narrator offers commentary and judgment, and whether the narrator’s voice is distinctive. Toward one end of the continuum one could place external narrators yet personal narrators like those of *Vanity Fair* or *Tom Jones*, and on the other end, some of the more impersonal external narrators of Ernest Hemingway’s “The Killers” (1927), John Dos Passos’s *The Big Money* (1936), or Alain Robbe-Grillet’s *La Jalousie* (1957, *Jealousy*).

But answers also depend upon readers’ assumptions about narrators. The claim that there is always a narrator in every story largely derives from the assumption that literary narration is a kind of speech or communication act, in which someone must necessarily speak to someone else. That is why many communication models are symmetrical, with an implied author speaking to an implied reader, a

narrator speaking to a narratee, and the real author speaking to the real reader, as in the influential communicative model developed by Seymour Chatman (see diagram in NARRATION). Conversely, the claim that there need not be a narrator—called the no-narrator theory—often derives from linguistic analyses in which acts of speech and thought are traced to certain grammatical agents—all of which must exist in the narration’s syntax because expressivity is located in grammar (e.g., Banfield). From this perspective, the concept of voices is subordinated to deictic centers, linguistic centers of consciousness whose use of directional and temporal words like “here” and “then” spatially and temporally situate them in the storyworld (see SPACE, TIME). Some no-narrator approaches argue that the narrator is not always an inherent element of narration, while Richard Walsh argues more radically against any necessary qualitative distinction between narrators and characters: “The narrator is always either a character who narrates or the author” (505). POSTMODERN and experimental texts often seem to delight in raising theoretical as well as hermeneutic questions about a narrator’s humanity or gender, and recent studies of “unnatural” narrators have brought the possibility of non-anthropomorphic narrators to the fore (e.g., Richardson; Alber). In general, it seems likely that individual authors differ on whether or not their narrators are always anthropomorphic beings, just as readers and theorists do.

REFLECTORS AND THE FIGURAL NARRATIVE SITUATION

The type of narration in which the narrator seems most withdrawn, covert, or absent is often reflector narration, or what Stanzel calls the figural narrative situation. Narratives using this mode of narration can

appear to have no narrator at all because the story is told through the perspective of a single character without his or her knowledge. Examples of reflector narration include Joyce’s *The Portrait of the Artist as a Young Man* (1916) and James’s *The Ambassadors* (1903). At first, such novels seem to have neither an external nor a character narrator because the narration offers the ostensibly unmediated thoughts of only one character, but those thoughts are presented in the third person. As Käte Hamburger once noted, it is only in literature that the I-originary of another’s self can be presented in the third person as if from their very own perspective. And in chap. 1 of Joyce’s *Portrait*, for example, we see this I-originary in the third person without the intrusive presence of an external narrator when we read sentences like, “He had to undress and then kneel and say his own prayers and be in bed before the gas was lowered so that he might not go to hell when he died” (30). But although we thus gain unworldly access to Stephen’s thoughts, the third-person syntax reveals that it is not Stephen who tells the story.

But while for some critics this novel may have no narrator, most would say that novels like *Portrait* are narrated by external narrators but reflected through the consciousness of a particular character. In other words, the “voice” is that of an external narrator who is looking through Stephen’s “vision.” Reflector narration is an important subset of external narration, but it is a subset: the narrator is an external, covert narrator who is merely choosing to perceive the world as reflected through a character’s consciousness (see NARRATIVE PERSPECTIVE). For authors, the advantages of reflector narration are several. First, readers may be more willing to identify with a character who is not consciously crafting his identity through the narrative. Whatever Stephen’s faults, we know he is

not performing for the authorial audience. Second, the author may restrict her ideal reader's knowledge more naturally, i.e., with less sense that the author is tricking her. This explains why Stanzel locates the figural narrative situation next to limited point of view. For example, because we see through Strether's consciousness, we are more apt to learn about the affair between Chad Newsome and Mme. Vionnet only when he does, toward the novel's end. Third, the ostensibly "unmediated" access can allow a fuller exploration of changing and unusual minds because it puts the reader's focus on the consciousness and not the mediator (see *PSYCHOLOGICAL*).

CHARACTER NARRATORS AND THE FIRST-PERSON NARRATIVE SITUATION

A character narrator is defined by her participation in the narrative she actively mediates; or as Stanzel puts it in his description of the first-person narrative situation, the realms of existence of the character and the storyworld must be identical. However, the degree of a character narrator's participation can vary considerably, from narrators who mostly observe the primary action line like Conrad's Marlow in *Lord Jim* (1899–1900) to narrators who are the protagonists of the primary action line like Brontë's eponymous Jane Eyre. In addition, character narrators vary in terms of artistic control and self-consciousness (Sternberg, 2008) because authors motivate their narrators in different ways—i.e., they can choose from many possible explanations for why the narrator delivers the narration, or offer no explanation at all. So although all character narrators lead double lives as narrators and characters, as a narrating-I and an experiencing-I, authors may emphasize

a character narrator's life as a character, her function *qua* narrator, or attend equally to both.

One challenge of character narration is that the author must communicate to the authorial audience through the character narrator's story to his narrative audience. From this perspective, character narrator is an "art of indirection" because the author must communicate indirectly through the limited perspective and realistic communicative frame of the character narrator's story to a dramatized or undramatized narratee that cannot be the actual reader (Phelan). Accordingly, rhetorical narratologist James Phelan has made an influential distinction between "disclosure functions" and "narrator functions." A character narrator's disclosure functions involve the information of all kinds that the author wants to indirectly reveal to the actual reader. Narrator functions involve all the information that the narrator directly gives to her narratee. The value of this distinction is that it can explain why narrators sometimes offer their narratee information that he or she would presumably already know, what Phelan calls "redundant telling": because the author needs to disclose that information to the authorial audience. Similarly, sometimes character narrators do not reveal their full relevant knowledge immediately, what Phelan calls "paradoxical *paralepsis*," because the author needs to keep that information hidden, perhaps for plot tension. In short, the distinction between disclosure functions and telling functions helps readers consider the author's purposes for the character narrator's discourse.

As Wayne Booth first articulated, the personalization of character narrators especially evokes the question of (un)reliability: In what ways do the norms, values, and judgments of the narrator resemble or diverge from the implied author as recoverable from the narration? (Un)reliability

remains a significant subject of study with respect to character narrators. Much debate focuses on the definition and utility of the implied author as a way of studying (un)reliability. For example, some critics define the implied author as a purely textual construct, others as a streamlined version of the real author. Still others argue that the implied author concept is not a useful way of understanding unreliable narration. In general, the implied author concept takes significant importance in the author-centric approaches that seek to know the author's intention (McCormick). This research has shown that character narrators can be (un)reliable with regard to their facts, interpretations, or judgments (Phelan, 50) and their reliability can change at different points in the narrative discourse. In contrast, reader-centric approaches emphasize that the hypothesis of unreliability is only one way that readers can account for anomalies in the text, especially if they don't center their reading on authorial intention (Yacobi). In general, unreliability studies intersect with many other questions, including the historical reception of texts, how readers make textual judgments, and author/reader relations, and so will likely continue to be a rich area of research in the future.

Just as (implied) authors have various relations with their character narrators, narrating-I's have various relations with those versions of themselves living in the primary-action level, the experiencing-I. Cohn (1978) makes a valuable distinction between "consonant" narrators, who identify with their experiencing-I, and "dissonant" narrators, who claim moral and intellectual distance from their former selves. For Cohn these categories can apply to external narration as well, but her terms are especially valuable to discuss character narration, and particularly when the experiencing-I is the protagonist of the primary-action level, as in

J. D. Salinger's *The Catcher in the Rye* (1951) or Dickens's *David Copperfield* (1850).

Another important relationship involving character narrators is that between a narrator and the communities they may represent. Bakhtin discusses how the speech register of a particular character or narrator may represent an entire community of people who use the same kind of ideologically inflected language. Susan Lanser (1992) has shown that in novels like Sarah Orne Jewett's *The Country of the Pointed Firs* (1896), the narrator can situate herself inside the community she seeks to represent, and to some extent become an "I" that speaks for "we." Such communal voices are interesting similarities and differences from those novels that actually use "we" to represent a particular community, like in Conrad's *The Nigger of the Narcissus* or the opening of Gustave Flaubert's *Madame Bovary*. (For more on "we" narration, see Richardson, 37–60; and Margolin, 591–618.)

FUTURE STUDY

Recent studies of narrators have brought much needed attention to the use of simultaneous narration, camera-eye, and "unnatural" narrators of all types, including those in novels and short stories of dubious or limited narrativity. In addition, second-person narration is a particularly interesting case of "unnatural" narration because it does not fit cleanly into any of Stanzel's or Genette's categories (Fludernik 1996, 226; Richardson, 28). These are promising research topics for the future, as are studies of narrators in postcolonial novels and in different genres and media.

SEE ALSO: Editing, Formalism, Linguistics, Narrative Structure, Rhetoric and Figurative Language, Speech Act Theory, Story/Discourse.

BIBLIOGRAPHY

- Alber, J. (2009), "Impossible storyworlds—and what to do with them," *Storyworlds* 1:79–96.
- Bakhtin, M.M. (1981), *Dialogic Imagination*, ed. C. Emerson, and M. Holquist.
- Banfield, A. (1982), *Unspeakable Sentences*.
- Booth, W.C. (1983), *Rhetoric of Fiction*, 2nd ed.
- Chatman, S. (1990), *Coming to Terms*.
- Cohn, D. (1978), *Transparent Minds*.
- Cohn, D. (1981), "The Encirclement of Narrative," *Poetics Today* 2:157–82.
- Culler, J. (2004), "Omniscience," *Narrative* 12(1): 22–34.
- Fludernik, M. (1996), *Towards a "Natural" Narratology*.
- Genette, G. (1980), *Narrative Discourse*.
- Hamburger, K. (1973), *Logic of Literature*, trans. M. J. Rose.
- Lanser, S.S. (1981), *Narrative Act*.
- Lanser, S.S. (1992), *Fictions of Authority*.
- Lubbock, P. (1921), *Craft of Fiction*.
- Margolin, U. (2000), "Telling in the Plural," *Poetics Today* 21(3):591–618.
- McCormick, P. (2009), "Claims of Stable Identity and (Un)reliability in Dissonant Narration," *Poetics Today* 30(2):317–52.
- McHale, B. (2008), "Ghosts and Monsters," in *Blackwell Companion to Narrative Theory*, ed. J. Phelan and P. Rabinowitz.
- Miller, D.A. (1981), *Narrative and its Discontents*.
- Olson, B.K. (1997), *Authorial Divinity in the Twentieth Century*.
- Phelan, J. (2005), *Living to Tell About It*.
- Richardson, B. (2006), *Unnatural Voices*.
- Stanzel, F.K. (1984), *Theory of Narrative*, trans. C. Goedsche.
- Sternberg, M. (1978), *Expositional Modes and Temporal Ordering in Fiction*.
- Sternberg, M. (1982), "Proteus in Quotation-Land," *Poetics Today* 3:107–56.
- Sternberg, M. (2008), "Self-Consciousness as a Narrative Feature," in *Blackwell Companion to Narrative Theory*, ed. J. Phelan and P. Rabinowitz.
- Walsh, R. (1997), "Who is the Narrator?," *Poetics Today* 18(4):495–513.
- Warhol, R. (1986), "Toward a Theory of the Engaging Narrator," *Papers of the Modern Language Association* 101(5):811–18.
- Warhol, R. (2008), "Neonarrative; or, How to Render the Unnarratable in Realist Fiction and

- Contemporary Film," in *Blackwell Companion to Narrative Theory*, ed. J. Phelan, and P. Rabinowitz.
- Yacobi, T. (2001), "Package Deals in Fictional Narrative," *Narrative* 9:223–9.

National Literature

IMRE SZEMAN

Even as it was in the process of being established at the end of the eighteenth and early nineteenth centuries, the productivity and function of the concept of "national literature" was already being questioned. National literature and its apparent opposite—world literature—find their origins in German Romanticism. The intimate, organic connection between land, language and people (captured in the concept of *Volksgeist*, or "national spirit") that lies at the heart of all understandings of national literature owes a great deal to the ideas of Johann Gottfried von Herder (1744–1803); the first expression of the concept of a *Weltliteratur* (world literature) was made by Herder's contemporary, Johann Wolfgang von Goethe. This origin of opposites from the same conceptual terrain is less surprising than it might seem. From our contemporary perspective, it is all too easy to imagine that the idea of national literature has been gradually superseded by ideas of world literature, global culture, and cosmopolitanism—the xenophobia and false limits of the national giving way over time to the borderless imaginings that we (too quickly) assign to contemporary cultural production. But in literature the "world" was always already a category that unsettled the assertion of the national. Goethe's scattered comments on world literature show how the consolidation of a number of discrete national-literary fields immediately opens up its opposite: the possibility of

encountering numerous literary traditions as a form of enlightened training in both difference and the common humanity thought to be expressed incompletely in each national form.

Despite these uncertain foundations, the idea of national literature has proven to be remarkably durable—perhaps the single most durable literary-critical concept, having changed little in its core precepts over more than two centuries, and continuing to be the predominant form into which literatures and literary study are institutionally organized throughout the world. Fundamentally, “national literature” expresses the belief that one of the most significant elements in shaping literary expression—and thus guiding literary criticism in its analysis of texts as well—is the national SPACE or culture out of which it originates. That a political form—the nation—would be imagined as having such a decisive impact on aesthetics and culture is directly related to the powerful IDEOLOGICAL work that the idea of the nation has performed since it began to be used in at the end of the eighteenth century. In *Treatise on the Origin of Language* (1772), the unfinished *Outline of a Philosophical History of Humanity* (1776), and other works, Herder argued that it was essential to see that there were deep connections between geography and history, and as a consequence, the development of languages and cultures as well. For Herder, specificities of place and historical experience gave rise to linguistic (see LINGUISTICS) and cultural differences to which of necessity linguists and historians had to carefully attend. They also gave rise to *Volk* (distinct peoples) shaped by these specific circumstances, each of whom would find representation in discrete political forms. In Herder’s thought, there is a conflation between RACE, culture, language, and nation; as he writes, “every nation is one people, having its own national form, as well as its own

language” (166). Long held as one of the structuring assumptions of modernity, this equation of land, language, and people in the form of the nation has continued to shape geopolitics and culture even in the global present, a time that is often imagined as being post-national by definition.

What has always been most ideologically suspect about the concept of the nation lies in its powerful inversion of historical cause and effect. Herder’s aim in his account of the development of the *Volk* was to insist that languages and cultures had to be seen as expressions of particular people at a particular time. This attention to the specifics of history challenged universalistic accounts of social development and pointed to the necessity of analyzing peoples and cultures on their own grounds, as opposed to through a temporal measure of universal human development. On its own, this insistence on the importance of material reality and on the interrelation of mind and matter expresses a significant development in social and cultural historiography. At its most productive, the concept of national literature draws attention to the ways in which material realities shape literary expression. However, by making “nation” and “people” into organic, universal concepts as opposed to understanding them as historical and political ones, Herder and other early theorists of the nation made each into natural, necessary forms in ways that have proven surprisingly difficult to shake.

The idea that the natural “container” or “unit” of cultures is the nation is a political invention. States do not develop organically out of the material of national cultures at the end of a long process of emergence—the effect of a cause that begins in the soil of geography. Rather, states *invent* nations as a way of legitimating and giving material and imaginative substance to those geographic spaces over which they claim sovereignty (Gellner; Hobsbawm). The end

result of the governing fiction of the nation—i.e., that it represents the political expression of a real as opposed to an essentially arbitrary isomorphism between land and culture—has played an essential role in virtually every instance of human conflict and deprivation over the past two centuries. Belief in nation and national culture has enabled wars of sovereign states against one another (through a logic of “us” versus “them” and the necessity of defense of one’s homeland), justified internal suppressions of all manner of differences, legitimated zones of inclusion and exclusion along arbitrary geographic borderlines, and produced particularly vicious attacks on those groups, such as Roma and Jews, who are imagined as being peoples without their own “home” nations.

As a primary example of the distinct form of the cultural expression of a people, the idea of national literature has played a central role in legitimating the myth of the nation. The development of literature as a category (and the rise of the novel in particular) from the end of the eighteenth century occurs alongside the emergence of the nation as a political form. As Terry Eagleton and others have argued, “literature, in the meaning of the word we have inherited, is an IDEOLOGY” (19). Those written works that qualified as literature were thought to express universal values of order, propriety, Reason, and Progress. This made literature into a tool of CLASS politics that could be used to “raise up” philistine middle and lower classes who lacked proper, “cultivated” values; as “national literature,” these same texts were taken to exemplify national greatness and intellectual achievement, highlighting both specific national characteristics (e.g., the pioneer spirit of Americans, French intellectualism) and the capacity of a nation’s people to generate these universal Enlightenment values. As instruction in literature became institution-

alized in universities at the end of the nineteenth and the beginning of the twentieth centuries, a canon of representative literary texts was developed which had the dual function of training a nation’s subjects in national values and beliefs (Baldick), and managing colonial subjects through immersion in the “universal” values of the literature of colonizing countries (Viswanathan). Also, as Benedict Anderson has influentially shown (1991), the novel in particular makes an important *formal* contribution to the creation of nations. By introducing the possibility of social simultaneity—the ability for of a spatially extended community to believe they all belong and exist together as one social body—the novel helps to create “imagined communities.”

In literary criticism, the body of what might be considered to constitute various *theories* of national literature consists largely of attempts to challenge the ideological work of the nation, both on its own and in conjunction with the categories of literature or the literary. What has made this task complex and confusing is that even if at their core both “nation” and “literature” are political inventions, over time each category has produced real objects with material and imaginative substance. When Fyodor Dostoyevsky is described as a Russian writer, Wisława Szymborska (1923–) as a Polish poet, or Ivo Andrić as a Bosnian writer, the national designations are provided as more than markers of citizenship; “nation” is offered as an immediate contextual entry point into how each writer is to be read and understood. The borders of (for instance) European nation-states have been changing even up until the present (e.g., Andrić was a Yugoslavian writer when he received the Nobel Prize for literature in 1961). Nevertheless, the concerted political and socio-cultural activity of state and people within the borders of nations with centuries-long genealogies (such as France or the U.K.) has

created “imagined communities” that are far from contingent. On the level of literary training and practice, the institution of national canons and of national literary markets has produced the conditions for the production of literary texts that draw on national narratives and see themselves as speaking to specific national audiences. The challenge and difficulty for those theories of national literature that want to suspend the priority of the category—the way in which it has “in the last instance” come to define literary production and criticism—is to be able to simultaneously insist on the fiction of the category of national literature while also being attuned to the substance that this fiction continues to have.

There have been three major areas of debate over the concept of national literature within contemporary literary criticism: (1) debates over the constitution of national literary canons; (2) the difficult and contradictory genesis of postcolonial national literatures; and (3) a range of proposals that insist on the transnational or global character of all literary production.

The establishment of national literary canons played an important role in training in literary studies, and in representing and reproducing national verities and virtues to those audiences who were being constituted as national subjects. Since the late 1990s we have witnessed significant challenges to existing national canons throughout the world, most famously in the 1980s and 1990s in the U.S. The charge against U.S. literary canons was that they were unrepresentative of the true multicultural character of U.S. society and history (Morrison). By failing to include literary work by women, African Americans, Hispanics, Native Americans, and other minority groups, the canon functioned to maintain older forms of class privilege and power. The ensuing “culture wars” over U.S. multiculturalism did help to make canons more diverse,

despite concerted efforts by conservative commentators (most notably Allan Bloom) to preserve the core texts of the old Western canon. The culture wars were fought both against a general Western canon of texts (from Plato to T. S. Eliot), as well as against national canons, such as those that might be used in an introductory class on (U.S.) American literature. While it was recognized that national literary canons were artificial inventions, arguments about canons were rarely posed as arguments against the category of national literature as such, as much as about the specific composition and representativeness of national literatures.

To a degree not often appreciated, many of the important issues and themes raised within postcolonial literature and criticism relate to the problems of the category of national literature. In virtually every postcolonial situation, whether in decolonized countries in Africa or Asia, “settler countries” such as Canada and Australia, or “developing” countries in South America riding the global wave of cultural nationalist sentiments that followed WWII, the challenge for both writing and theory came from the contradictions and paradoxes of establishing national literatures in these states (Szeman). The issue in postcolonial countries was also one concerning canons. Following the pattern established in Europe, it was imagined that new nations—whether new by virtue of becoming independent modern states for the “first” time (e.g., Jamaica, Nigeria, India), or as a result of increasing confidence in and hopes for national self-definition (e.g., Brazil, Canada, Australia)—required of necessity their own national cultures, including national literatures that would define and shape the nation. The creation of these literatures took a variety of forms, from nativist assertions of the need for writing in African languages (as in the work of

Ngũgĩ wa Thiong'o) to critical anxieties over lack of established national canons in countries such as Canada, and the consequent activity of creating them rapidly and from scratch (Lecker). The fiction of national literatures was hardest to sustain in these circumstances in the postcolony, in part because of the clear artifice of the nation itself in countries produced as a result of colonial misadventure rather than through centuries of the development of land, language, and people (e.g., Nigeria, which contains myriad languages, ethnicities, and peoples). The category of postcolonial literature for this reason has from its inception productively unsettled the Eurocentric idea of national literature; the category of the "postcolonial" challenges the limits of the national and points toward the necessity of considering literary developments on a global scale.

In the era of globalization, it is Goethe's *Welt* rather than Herder's *Volk* that has dominated attempts to map literature into its contexts and circumstances. Though literary studies remain organized into national literatures, the literatures studied within this framework now often focus on multiple, extranational spaces and imaginations (e.g., within the U.S., ASIAN AMERICAN literature, LATINA/O literature). Comparative literature (see COMPARATIVISM), which has implicitly relied on national spaces across which to deploy its critical strategy of comparison, has set out in new directions, best exemplified in Gayatri Spivak's arguments for a transnational literary criticism in *Death of a Discipline* (2003). Most intriguingly, scholars such as Franco Moretti (1998) and Pascale Casanova (2004) have sought to reimagine literary geography entirely, by looking past the nation to the spatial coordinates of literary genre, reading publics, and marketplaces, and to the place of cities in the development of fiction.

SEE ALSO: Anthropology, Comparativism, History of the Novel, Regional Novel.

BIBLIOGRAPHY

- Anderson, B. (1991), *Imagined Communities*, rev. ed.
- Baldick, C. (1987), *Social Mission of English Criticism*.
- Bloom, A. (1987), *Closing of the American Mind*.
- Casanova, P. (2004), *World Republic of Letters*.
- Eagleton, T. (1983), *Literary Theory*.
- Gellner, E. (1983), *Nations and Nationalism*.
- Goethe, J.W. von (1973), "Some Passages Pertaining to the Concept of World Literature," in *Comparative Literature*, ed. H-J. Schulz and P. Rhein.
- Herder, J.G. von (1800), *Outlines of the History of Man*, trans. T. Churchill.
- Hobsbawm, E. (1990), *Nations and Nationalism since 1780*.
- Lecker, R. (1995), *Making It Real*.
- Morrison, T. (1992), *Playing in the Dark*.
- Moretti, F. (1998), *Atlas of the European Novel, 1800–1900*.
- Ngũgĩ wa Thiong'o (1986), *Decolonising the Mind*.
- Spivak, G.C. (2003), *Death of a Discipline*.
- Szeman, I. (2003), *Zones of Instability*.
- Viswanathan, G. (1989), *Masks of Conquest*.

Naturalism

DONNA CAMPBELL

The term *naturalism* refers to a late nineteenth-century and early twentieth-century literary movement whose practitioners used the techniques and theories of science to convey a truthful picture of life. The characteristics of naturalism include a carefully detailed presentation of modern society, often featuring lower-class characters in an urban setting or a panoramic view of a slice of contemporary life; a deterministic philosophy that emphasizes the effects of heredity and environment; characters who act from passion rather than reason and show little insight into their behavior; and

plots of decline that show the characters' descent as the inevitable result of the choices they have made. The critic George Becker once defined naturalism as "pessimistic materialistic determinism" (35), but its elements are more complex than that phrase would suggest. For example, David Baguley identifies naturalistic novels as those that treat sociological or scientific subjects, often to expose individual or cultural pathologies, through a combination of dysphoric plots of decline and minutely detailed settings; they also "undermine parodically the myths, plots, idealized situations, and heroic character types of the romantic and the institutionalized literature to which they are opposed" (21). In its frank presentation of violence and SEXUALITY, naturalism broke free from earlier and more genteel conventions of REALISM and revealed a vision of life previously considered too brutally graphic for middle-class audiences. It tested the limits of what publishers would print and what audiences would read, thus setting a new standard for serious fiction and paving the way for later authors (see PUBLISHING).

The origins of naturalism lie in the biological, economic, and psychological discoveries of the nineteenth century, all of which relied on the intensive application of scientific empiricism. The most significant of these discoveries were the evolutionary theories of Charles Darwin (1809–82) and Herbert Spencer (1820–1903). In *On the Origin of Species* (1859), Darwin reported his observations of the manifestations of hereditary traits in successive generations, and in *The Descent of Man* (1871) he described the processes of sexual selection in animals. Such theories gave credence to the naturalists' belief that a submerged, primal animal nature revealed itself in human beings when the veneer of civilization was shattered by the stress of extreme circumstances. Another naturalistic idea borrowed

from evolutionary theory is Herbert Spencer's phrase "survival of the fittest," which naturalist authors embraced as an interpretive paradigm for their study of the desperate lives of the poor. Among the first to understand the potential that these scientific ideas had for fiction was Émile Zola, whose preface to *Thérèse Raquin* (1867) is generally considered the earliest naturalist manifesto since it expresses Zola's intention to subject his characters to scientific study. A more complete statement of naturalism is his *Le Roman expérimental* (1880, *The Experimental Novel*), which elaborated on the idea that the experimental method should be applied to characters in novels: "Naturalism, in letters, is equally a return to nature and to man; it is direct observation, exact anatomy, the acceptance and depiction of what is." The twenty-volume Rougon-Macquart series of novels follows this pattern as Zola traces several generations of inherited character traits, such as a propensity toward alcoholism, avarice, prostitution, or obsessive behavior. For example, one descendant of the Maquart family, Gervaise Coupeau of *L'assommoir* (1877, *The Drunkard*), shows the lack of self-awareness and the impulsive behavior of a typical naturalistic character; her son, Paul Lantier, is plagued by an obsessive need to paint and repaint his masterpiece in *L'Oeuvre* (1886, *The Masterpiece*); and her daughter, Nana, slips into prostitution and dissolution in *Nana* (1880). As is evident in Zola's attacks on dysfunctional social and industrial systems in *L'assommoir* and *Germinal* (1885), naturalism often implies a social critique, yet promoting reform was not the goal; as his *Roman expérimental* admonished his readers, "like the scientist, the naturalist novelist never intervenes." The idea that art should be morally impersonal and that the depiction of evil actions need not be automatically followed by scenes of punishment stirred outrage, since

it violated the principle that a failure to punish evildoers would influence readers to imitate the actions they found on the page. What Zola saw as objectivity, the critics saw as immorality, and despite Zola's protestations that "it is not possible to be moral outside of the truth," naturalism was routinely vilified as indecent and immoral.

EUROPE

The furor over Zola and naturalism spread throughout Europe and Latin America during the 1880s and 1890s, following a consistent pattern of condemnation of naturalism's supposed excesses by some critics and the adoption of its principles by novelists and dramatists who saw it as a means of expressing social truths. In France, the birthplace of the movement, the ranks of naturalists included Edmund and Jules de Goncourt, whose novel *Germinie Lacerteux* (1864) traces the descent into death of a servant who leads a double life of devotion to employer and after-hours dissipation; and Guy de Maupassant, whose first novel *Une Vie* (1883, *A Woman's Life*) and short stories such as "Boule de Suif" (1880, "Butterball") exemplify naturalistic principles. The line between realism and naturalism was less firmly drawn in Spain, but Benito Pérez Galdós 1886–87, (*Fortunata y Jacinta*, 1881, *La desheredada*; 1881, *The Disinherited Lady*), Leopoldo Alas 1884–85, (*La Regenta*, *The Regent's Wife*), and especially Emilia Pardo Bazán wrote novels with naturalistic elements such as a frank treatment of sexuality, factory scenes, investigations into the plight of the working poor, and indictments of hypocritical social institutions. Pardo Bazán's novels *Los pazos de Ulloa* (1886, *The Son of a Bondswoman*) and *La Tribuna* (1882, *The Tribune of the People*) depict a family in decline and the

lives of the working-class urban poor, respectively, yet she disavowed Zola's determinism in her influential series of essays *La cuestión palpitante* (1883, *The Burning Question*).

In Italy, Giovanni Verga's *I malavoglia* (1881, *The House by the Medlar Tree*) and Luigi Capuana's *Il Marchese di Roccaverdina* (1901, *The Marquis of Roccaverdina*) are examples of *verismo*, a variant of naturalism opposed to some of naturalism's vulgarity but committed to its ideal of objective representation and the erasure of the author's intrusions into the text. Gerhard Hauptmann's drama *Die Weber* (1892, *The Weavers*) and Thomas Mann's *Buddenbrooks* (1900) typify German naturalism, although according to Lilian Furst, the latter is only "the closest approximation to a native German naturalist novel" (1992, "Thomas Mann's *Buddenbrooks*," in *Naturalism in the European Novel*, ed. B. Nelson, 244), given the dominance of forms other than prose fiction in Germany at that time. In England, debates over naturalism became conflated with those over CENSORSHIP, the New Woman, and the frankness of the New Fiction (Pykett), for there as elsewhere naturalism was seen as a threat to propriety and the established social order. After publishing "Literature at Nurse" to protest the prudery of English booksellers who would not stock his earlier realist works, George Moore wrote *Esther Waters* (1894), a sympathetic treatment of a housemaid who becomes pregnant out of wedlock and refuses either to give up her child, or, in the tradition of romantic fiction, to die of shame at having borne it. Unlike Moore, Thomas Hardy dismissed the influence of Zola on his novels, yet *Tess of the D'Urbervilles* (1891) and *Jude the Obscure* (1895), emphasize naturalistic elements, adding the pressures of rigid class structures to those of biological determinism as forces opposing the individual will.

THE AMERICAS

Zolaesque naturalism was also an important literary movement in Latin America, where naturalistic novels directly confronted issues of class, race, and social upheaval. Argentina's Eugenio Cambaceres explored classically naturalistic sexual themes in *Sin Rumbo* (1885, *Without Direction*), but his treatment of immigration in *En la sangre* (1887, *In the Blood*) departs somewhat from naturalist practice to express anxieties about the large influx of Italian immigrants into the country. Like Zola, the Mexican novelist Arcadio Zentella protests the abuses of a social system—in *Perico* (1886), the hacienda system—and Federico Gamboa's *Santa* (1903) features as its title character a prostitute, a common feature in naturalist novels such as Stephen Crane's *Maggie: A Girl of the Streets* (1893) and Zola's *Nana*. Turn-of-the-century Brazilian naturalists include Aluísio Azevedo, Júlio Ribeiro, Adolfo Caminha, Raul Pompéia (1888, *O ateneu, The Boarding School*), and Manoel de Oliveira Paiva (wr. 1897, *Dona Guidinha do Poço, Dona Guidinha of the Well*). As David T. Haberly notes, Brazilian naturalists not only responded to great social changes, such as the emancipation of African slaves in 1888 and the proclamation of the Republic in 1889, but also treated sexual themes in stronger terms than did their European counterparts: "Nothing comparable to the most extreme examples of Brazilian Naturalism, Júlio Ribeiro's *A carne* [1888, *Flesh*] or Adolfo Caminha's 1895 novel of interracial homosexuality *Bom crioulo* [*The Black Man and the Cabin Boy*], could have been published and marketed in England or the United States before the middle of the 20th century" (88). Another novel with a racial theme, Azevedo's *O mulato* (1881, *The Mulatto*), is generally considered the first Brazilian naturalist novel; his *O cortiço*

(1890, *The Slum*) addresses not only race, but, like novels by Zola and Crane, topics such as female sexuality, slum life, prostitution, and suicide.

Outside of France, naturalism had its most lasting impact in the U.S., with Crane, Frank Norris, Jack London, and Theodore Dreiser acknowledged as naturalist writers and others such as Edith Wharton, Kate Chopin, and Paul Laurence Dunbar writing for a time in a naturalistic vein. Of these figures, Norris provided the most extensive explanation of naturalism for American audiences. Norris believed that naturalism was not simply a more extreme form of realism but revealed a different kind of truth. Contending that genteel realism "stultifies itself" and "notes only the surface of things" (1166) by striving for accuracy rather than an essential truth, Norris claimed that naturalism, being essentially romantic rather than realistic, could "go straight through the clothes and tissues and wrappings of flesh down deep into the red, living heart of things" (1165) and portray a truth inaccessible to realism.

For many naturalist authors, including Crane, Zola, Dreiser, and Dunbar, the setting for discovering the "red, living heart of things" was the modern city. The city in naturalism is at once an urban jungle, a site of spectacle, a space of sexual desire and capitalist exchange, a testing ground for adaptation, and a place of transformation in which identity can be dissolved, reshaped, or lost; in novels featuring female characters, the theme of the city as contributing to prostitution is common. For example, Crane's *Maggie* describes the brief, poverty-stricken life of Maggie Johnson, whose dreams of romance crumble before the reality of prostitution. The city erases one identity—her name—as it gives her another, for as a prostitute, she is only an anonymous "girl of the painted cohorts of the

city” (chap. 17). Lacking Maggie’s revulsion against selling herself, Zola’s character Nana gleefully embraces the life of the streets as a child in *L’assommoir* before turning to acting and prostitution in *Nana*. The city that had drained individuality from Maggie supplies multiple identities for Dreiser’s Carrie Meeber of *Sister Carrie* (1900), who, like Nana, takes to the stage and makes a living from the admiring gaze of men in the audience. Her ability to adapt to her surroundings stems from a desiring self: she is both stimulated by the city and never satisfied by what she finds there. In Dunbar’s *The Sport of the Gods* (1901), a desire for city pleasures destroys the family of Berry Hamilton, whose daughter, like Carrie, takes to the stage, and whose son, a kept man, kills his wealthy lover. In naturalistic fiction, the only certainty that the city affords is that it will be an overpowering force for transformation, and, in keeping with the pessimism of most naturalistic fiction, the change will not be for the better.

Heredity, for the naturalists, was not a simple biological construction or chart of descent; rather, it included ideas of inheritance since proven false, such as atavism, the reversion of the individual to type, or to an earlier state of the RACE through unconscious race memories; the inheritability of acquired characteristics; and hierarchical distinctions among desirable racial characteristics, with minute differences in ethnic identity used to characterize “races” such as Anglo-Saxons. The themes of reversion to type and the brute within were particularly common in naturalistic fiction. For example, the protagonist of Frank Norris’s *McTeague* (1899) struggles between his better self and a brutish nature that propels him into sexual experience, drunkenness, and violence. After he kills his wife, McTeague meets his end in Death Valley, urged on by an “obscure brute instinct” that hints at a prehistoric, apelike past (chap. 21). Jack

London’s *The Call of the Wild* (1903) also illustrates a reversion to ancestral type: “instincts long dead [become] alive again” as Buck rediscovers the forgotten lessons of his wolf ancestors and finally answers the call of the wild (chap. 2). Kate Chopin’s *The Awakening* (1899) shows Edna Pontellier shedding portions of her constructed persona as a well-to-do wife and mother in favor of an identity as an artist and as a sexual being, a transformation symbolized by her pleasure in swimming. In each case, the “call” of heredity is wordless, felt or heard within the body and processed by the “primitive” rather than the rational brain (see ANTHROPOLOGY). In establishing the primacy of the physical, emotional self and granting its dictates legitimacy, the naturalists theorized that by understanding primitive, impulsive human actions they would be better able to identify the primary rules of human behavior.

THE TWENTIETH CENTURY

Although the classic phase of naturalism ended before WWI, novels influenced by naturalism were published throughout the twentieth century. The theories of William James and, later, Sigmund Freud and Carl Jung increased understanding of powerful PSYCHOLOGICAL forces such as habit, obsession, sexual desire, and the collective unconscious, and they added psychological determinism to the social and material determinism of classic naturalism. In the U.S., Sherwood Anderson’s *Winesburg, Ohio* (1919) combined a modernist simplicity of style with a subject matter in which psychological repression and the social constraints of the small town contributed to the characters’ predetermined fates. Decades later, the Depression-era (1930–39) fiction of John Dos Passos, James T. Farrell, and John Steinbeck infused the

determinism of classic naturalism with a social critique and political consciousness born of the times. Steinbeck's *The Grapes of Wrath* (1939) is naturalistic in its study of the deterministic forces arrayed against its migratory family, the Joads, but its overt politicizing makes it more akin to the proletarian novel of social protest than to classic naturalism. Like Ellen Glasgow's *Barren Ground* (1925) and Edith Summers Kelley's *Weeds* (1923), it focuses on rural subjects; in this way, it recalls the "neo-naturalism" of Latin American fiction of the 1930s, which brought naturalist methods to the study of the land and its "foundation myths" (Morse 47). Using naturalism to explore racial tensions in the U.S., Richard Wright's *Native Son* (1940) and Ann Petry's *The Street* (1946) chronicled urban despair and posited racism as a determining environmental force, with Petry's Lutie Johnson, like Wright's Bigger Thomas, as a character driven to violence by the incessant degradation and constricted opportunities she suffers. Although some writers, including Don DeLillo and Joyce Carol Oates, continued to employ naturalistic themes well into the twentieth century, the rise of MODERNISM and postmodernism, with their emphasis on subjectivity, or the critique of pure scientific objectivity, rendered naturalism a diminished rather than a vital force in the literary landscape.

SEE ALSO: Decadent Novel, Ideology, Modernism, Romance, Surrealism/Avant-Garde Novel.

BIBLIOGRAPHY

- Baguley, D. (1992), "The Nature of Naturalism," in *Naturalism in the European Novel*, ed. B. Nelson.
- Becker, G., ed. and intro. (1963), *Documents of Modern Literary Realism*.
- Bueno, E.P. (1995), *Resisting Boundaries*.
- Carsaniga, G. (2003), "Literary Realism in Italy," in *Cambridge Companion to the Italian Novel*, ed. P. Bondanella, and A. Ciccarelli.
- Haberly, D.T. (1997), "Aluísio Azevedo, 1857–1913," in *Encyclopedia of Latin American Literature*, ed. V. Smith.
- Howard, J. (1985), *Form and History in American Literary Naturalism*.
- Lehan, R. (2005). *Realism and Naturalism*.
- Morse, R.M. (1996), "The Multiverse of Latin American Identity, c. 1920–c. 1970," in *Ideas and Ideologies in Twentieth-Century Latin America*, ed. L. Bethell.
- Norris, F. (1986), "A Plea for Romantic Fiction," in *Frank Norris*, ed. D. Pizer.
- Papke, M.E., ed. (2003), *Twisted from the Ordinary*.
- Pizer, D. (1984), *Realism and Naturalism in Nineteenth-Century American Literature*, rev. ed.
- Pykett, L. (1992), "Representing the Real" in *Naturalism in the European Novel*, ed. B. Nelson.

Neorealism see Italy; Realism

New People Novel see Russia (18th–19th Century)

Newspaper Novel see Journalism

Nonfiction Novel see Journalism; Fiction

North Africa (Maghreb)

NOURI GANA

The Maghreb is the name that Arab writers and geographers gave to the region north of the Sahara which, for Europeans, corresponded to Barbary or Africa Minor, and for Ibn Khaldoun, to the Berber zones before the seventh-century Arab conquest. Nowadays, the term is much more specific but not fully unequivocal. As opposed to the Mashreq (i.e., the place of the rising sun), which covers all Arab lands east of Egypt, the Maghreb (i.e., the place of the setting sun) refers to the westernmost fringes of the Arab world in northwestern Africa. At the height of Arab Muslim rule in the medieval Mediterranean, the Maghreb used to denote not only northern Africa but also Sicily and

Spain. Given that the word Maghreb in Arabic comes from the root *gharb* (“west”), it has at times been used sweepingly in reference to different regions west of the Arab peninsula. Hence, the association between the Maghreb and the West in the Mashreqi imagination has enjoyed an enduring resonance throughout Arab history and did not fully diminish after either the collapse of Arab rule in Europe nor of European rule in the Maghreb.

Because it is the Arabic word for Morocco, Arabic writers have reserved the expression *al-Maghreb al-Aqsa* for Morocco and *al-Maghreb al-Kabir* for the Greater Maghreb. Whether in English or French, the word Maghreb is synonymous with what is called in Arabic the Greater Maghreb. As to what specific countries (should) constitute the Maghreb, or the Greater Maghreb, this remains an unresolved issue, continually rehearsed by scholars depending on their own political, disciplinary, and methodological approaches and purposes. Sometimes the Maghreb is used interchangeably with the whole of North Africa (at times with and at others without Egypt in the mix); most commonly, however, the geopolitical reach of the term is considerably narrowed down to include only Morocco, Algeria, and Tunisia—the three countries whose common colonial experience has been thought, particularly among Francophone scholars in the U.S. and elsewhere, to have fostered their decolonial affinities and solidarities and, later, postcolonial ties to their former colonizer, France. While it is understandable why Libya, being a former Italian colony, is left out of this Francophone trio, the reasons why Mauritania, a former French colony, has been routinely overlooked have never been fully accounted for.

On 17 Feb. 1989, the leaders of Algeria, Libya, Mauritania, Morocco, and Tunisia met in Marrakesh and officially signed

a treaty creating *Ittihad al-Maghreb al-Arabi*, the Union du Maghreb Arabe (Arab Maghreb Union, or UMA). Although UMA is still a frail geopolitical and economic entity, it has gone a long way toward promoting fraternal and cooperative relations between the five Maghrebian countries. Bilateral relations between, for instance, Libya and Tunisia, on the one hand, and Algeria and Morocco, on the other, underwent various crises from the 1970s onward before they improved by the late 1980s. The abortive union between Tunisia and Libya in 1974 wrecked interstate relations between the two countries for several years. The dispute between Algeria and Morocco over the fate of the Western Sahara (which was abandoned by Spain in 1975) resulted in a breaking-off of diplomatic relations between the two countries for a dozen years. The Western Sahara question deteriorated into a continual cold war between Algeria and Morocco, resulting in UMA’s patent failure to make any substantial progress in establishing a common economic market in the Maghreb. Economically, the member states of UMA compete among themselves for partnership with Europe rather than partner each other against European hegemony. Culturally, the Maghreb is thriving: many pan-Maghreb projects such as Nessma TV are now bringing into dialogue the dialects and cultures of UMA member countries.

NOVEL FORMATIONS

The Arabic novel owes its beginnings, in good part, to East—West intellectual and crosscultural encounters and exchanges through, among other factors, travel, colonial contact, and translation. While the different motives behind these encounters can be discerned retrospectively through, for instance, the lenses of Orientalism or

Occidentalism, the literary and cultural entanglements they (must have) produced remain hardly mappable into a master historiographical narrative from which a genealogy of the novel proper can be reconstructed. Early Arab literary narratives—such as the eighth-century *Kalila wa Dimna*, a volume of animal fables of Indian origins, which Ibn al-Muqaffaʿ translated from Persian into Arabic; the *maqamat* or chivalric tales of Hamadhani and Hariri in the tenth and eleventh centuries, respectively; the twelfth-century philosophical tale *Hayy Ibn Yuqzan* (*Ibn Tufayl's Hayy Ibn Yuqzan*) by the Andalusian physician and philosopher Ibn Tufayl; and, particularly, *Alf layla wa-layla* (*The Thousand and One Nights*), an authorless narrative that spans geographies and centuries—had variably informed the rise of the novel in Europe from Miguel de Cervantes Saavedra's *Don Quixote* (1605, 1615) and Daniel Defoe's *Robinson Crusoe* (1719–22) to Laurence Sterne's *Tristram Shandy* (1759–67) and beyond. The early Arab novels (at least in their ostensibly formless or searching forms in the second half of the nineteenth century) were, in turn, informed by the gradual development, translation, and dissemination of the novel in and outside Europe from the eighteenth century onward. As such, the novel emerges less as the property of one geopolitical or sociocultural sphere of production and influence than as the materialization of transformational and generative entanglements—really, the crystallization of transcultural and transnational collaborative endeavors.

The Arab novels that emerged in the second half of the nineteenth century were wittingly or unwittingly inclined to reconcile between the westward and eastward or inward strains and constraints by which they were shaped and to which they in turn gave concrete shape. This *bidirectional impulse* has largely animated the various novels

of this period, namely: Kahlil Khoury's *Oui . . . idhen lastu bi-Ifranji* (1859, *Yes . . . So I am not a Frank*); Salim al-Bustani's *Al-Hiyam fi Jinan al-Sham* (1870, *At a Loss in the Levantine Gardens*); Francis Marrash's *Ghabat al-haqq* (1865, *The Forest of Truth*); Ahmad Faris al-Shidyaq's *Al-Saq ala al-saq* (1855, *Leg upon Leg*); and Muhammad al-Muwailihi's *Hadith Isa ibn Hisham* (1907, *Isa ibn Hisham's Tale*). In addition to Khalil Gibran's *Al-Ajniha al-mutakassira* (1912, *Broken Wings*) and Muhammad Husayn Haykal's *Zaynab* (1914), almost each of the above novels has at one point or another been claimed as the first Arabic novel, which goes to suggest that the Arabic novel emerged from several rehearsals and multiple beginnings rather than from one single origin. Given that the very Arabic word *riwaya*, which is now used exclusively in reference to the “novel,” has traditionally conjured up a tangle of narrative genres such as *hadith* (prophetic tradition), *sira* (prophetic biography), *hikaya* (tale), and *maqama* (in which authorial transmission or *riwaya* of speeches, stories, reports, and news, or *akhbar*, is central), it might not be unfair to contend that the Arabic novel owes its early formation not only to the appropriation of the novel genre from Europe—a widely accepted view by Edward W. Said and Mohamed Berrada, among others—but also, and more importantly, to the revival and transformation of traditional narrative genres in the wake of Napoleon's 1798 expedition into Egypt and the Arab world's firsthand encounter with industrialized imperial Europe.

The pioneers of the Arabic novel were part and parcel of the experimental ventures of the nineteenth-century *nahda*—the largely intellectual movement that sought to revive and reinvigorate Arab culture by assimilating European modernity and resurrecting forgotten Arab modernity (following, as it were, three centuries of

Ottoman rule). Little surprise, then, that Nasif al-Yaziji, al-Shidyaaq, al-Muwailihi, and Hafiz Ibrahim, to name only a few, returned to the *maqama* in order to write novels. While for Abdelfattach Kilito al-Muwailihi's *Hadith Isa ibn Hisham* concludes the transition of Arabic prose from the *maqama* to the novel, ridding the latter from the stylistic adornments and constraints of the former, it can be argued that the Arabic novel has not fully abandoned all the formal aspects of the *maqama*. Elias Khoury's experimental novels, for instance, rely heavily on episodic narration across orality and textuality, and Ahlam Mosteghanemi's trilogy is an exercise in *saja'*, or rhymed prose, weaving together idiomatic neologisms and elaborate rhetoric across poetry and prose. It might be the case that the colonial scramble for the Arab world in the long nineteenth century pushed some Arab novelists to turn to traditional forms of expression such as the *maqama* as acts of resistance to European cultural hegemony, but the fact remains that the Arabic novel as such never quite flourished at the time when major parts of the Arab world had been under unchallenged colonial rule. Poetry, that oldest form of Arab literary expression, continued to reign supreme. It was not until decolonial struggles gained momentum across the Arab world that Arab novelists felt warranted not only to appropriate the novel as a form of decolonial expression but also the very language of the colonizer itself. This is most noticeably the case with the Maghreb, whose placement in the Arab Muslim world and submission to a very long French (and, to a lesser degree, Italian and Spanish) colonial domination produced a rich tradition of novel writing, along with some of the most compelling debates about the postcolonial or Third-World novel in relation to questions of language, ethnicity, modernity, culture, nation, decolonization, and a host of other issues.

TWILIGHT COLONIALISM, DECOLONIAL NOVELISM

The novel in the Maghreb emerged de facto during the decolonial struggles that started to take shape in the early twentieth century and gained momentum after WWII. Much like Jurji Zaydan, Salim al-Bustani, Farah Antoun, and Numan Abduh al-Qasatili, all of whom variably turned to the past glories of Arabs and Muslims to write HISTORICAL novels writ large, the pioneers of the novel in the Maghreb were no exception to this overall trend that accompanied the rise of the novel in Egypt and the Levant in the late nineteenth century. In addition to translations from French, Spanish, and Russian (e.g., Leo Tolstoy was introduced to Tunisian Arabic readers in 1911), the beginning of the Maghrebian novel occurred in Tunisia at the hands of writers of historical novels or social romances, including Saleh al-Souissi, *Al-Haifa wa Siraj al-Lail* (1906, Haifa and Siraj al-Lail); Al-Sadiq al-Rizgi, *Al-Sahira al-Tounisiyya* (1910, literally, The Tunisian enchantress); and, particularly, Ali al-Dou'aji—*Jawla hawla hanat al-bahr al-mutawassit* (1935, A Tour around the Mediterranean Taverns). This early generation of Tunisian and Maghrebian novelists wrote at the crossroads of narrative genres, particularly at a time when what is now called "novel" used to mean *qissa tawila* (long story) as opposed to *qissa qasira* (short story). If we abide by this distinction—and bear in mind the many lost or unpublished novelistic manuscripts as a result of the colonial clampdown on Arabic writings and publications at the turn-of-the-century Maghreb—a long list of pioneering novelists may be drawn up, including Zine al-'Abidine Al-Senussi, Sliman al-Jadawi, Muhammed al-Habib, Muhammed Fahmi Ben Sha'ban, and Hasan Hosni Abdelwaheb, who wrote *Amiratu Gharnata* (The Princess of Granada) as early as 1905.

A much more bold development of the novel in the Maghreb takes place in the 1930s and 1940s—the two decades that consolidated the decolonial struggles that would bring about the demise of colonialism by the late 1950s and early 1960s from the entirety of the Maghrebian countries. In Tunisia, the Neo-Destur (or New Constitutional) party led by Habib Bourguiba appealed to the masses and became the center for the broad-based Tunisian independence movement *Jama'at tahta al-sur* (literally, against-the-wall group), which brought together a heterogeneous number of intellectuals, helped raise awareness about the colonial condition through regular meetings and debates organized in a popular café; Abu al-Qasim al-Shabbi (1909–34), one active member of the *Jama'a*, wrote “Iradit al-hayat” (The will to life), a poem that became a rallying cry against oppression across the Arab world; several periodicals, newspapers, and magazines offered timely outlets for translations of European fiction and for the creative output of several early Tunisian novelists from al-Dou'aji to al-Bashir Khrayyif. Apart from al-Dou'aji, whose narrative skills would inspire generations of Tunisian writers, Mahmoud al-Messadi helped found a singular tendency of novelism in the Maghreb that remains unequalled to this day. Educated at the Sorbonne and immersed in the Arabic literary heritage, al-Messadi wrote unclassifiable novels, cutting across several genres, including *quissa*, *hadith*, *maqama*, drama, and Islamic existential philosophy. *Al-Sudd* (The dam, wr. 1939–40, pub. 1955) is an inimitable work whose elegant language (using *saj'*), imagery, and rhetorical power combined to make it into an exceptional phenomenon in the history of the Arabic novel. Like al-Shabbi's poem, *Al-Sudd* dramatizes human will, creativity, and transformational generative powers; it is a subtle allegory of empowerment in the

face of the colonial policies of *francisation* that would diminish Arabic literacy in certain parts of the Maghreb. Like *Al-Sudd*, *Haddatha Abu Hurayra Qal* (Thus Spake Abu Hurayra) and *Mawlid al-Nisyan* (The Genesis of Forgetting) were all written in the 1930s and 1940s, partly serialized in the literary review *Al-mabahith*, but not published in full until the early 1970s. By this time, however, not only would al-Messadi have become the minister of culture in post-independence Tunisia and devoted himself fully to the reformation (and Arabization/Arabicization) of the educational system, but he would have already passed the torch to several other budding novelists. While his intellectual vision and influence cannot be overstated, al-Messadi's writing style constitutes a rare trend in modern Arabic literature.

In the 1960s and 1970s, the Tunisian novel developed further along the historical and social realist lines of prose fiction inaugurated by al-Rizgi and al-Dou'aji at the turn of the twentieth century. Three of the more notable novelists of this period are without a doubt al-Bashir Khrayyif, Muhammad La'roussi al-Matwi, and Muhammad Salih al-Jabiri. While he wrote numerous short stories and novels and published to great acclaim his historical novel, *Barq Al-Layal* (which is a knight's name—literally, “lightning of the night”) in 1961, Khrayyif is more commonly known for *Al-digla fi 'arajiniha* (Dates in their Branches). Published more than a decade after Tunisia's independence, the novel takes place in the south of Tunisia in the 1920s and chronicles the beginnings of syndicalism and the nationalist movement by focusing on the multifaceted struggles of the mineworkers, inventing, in the process, a language that vacillates seamlessly between Arabic *fusha* in narration and Tunisian *darija* in dialogue. Similarly, al-Matwi's novels of this period—*Halima* (1964), and,

particularly, *Al-Tut al-murr* (1967, *Bitter Blueberries*)—are mostly situated in the south and stage both the struggle against colonialism as well as the misery of subaltern Tunisians. Al-Jabiri is an accomplished critic, novelist, and playwright. In addition to *Al-Bahru yanshuru al-wahahu* (1971, *The Sea Scatters its Driftwood*) and *Laylat al-sanawat al-‘ashr* (1982, *The Night of the Decade*), his acclaimed debut novel *Yawm min ayyam Zamra* (1968, *One Day in Zamra*) sheds light on the popular uprisings against French rule even while it brings into relief the treason of local collaborators. Other novelists of this period who engaged with the question of national self-determination in tandem with the emancipation of women and other related issues such as the clash between the country and the city, migration, and experimental socialism include Abdel Qader Ben Shaikh in his *Wa Nasibi min al-Ufuq* (1970, *My Share of the Horizon*), Mustafa al-Farsi in *Al-Mun‘araj* (1969, *The Curve*), Muhammad Rached al-Hamzawi in *Bududa mat* (1962, *Boudouda Died*), Omar ben Salem in *Waha bila zilas* (1979, *Shadeless Oasis*), and Al-Bashir Ben Slama in *Aisha* (1981). Of note also are the plethora of novels produced by, among others, Hammouda Karim al-Sherif, Abdelmajid ben Attia, Abdelaziz al-Sa‘dawi, Abdelrahman Ammar, Muhammad al-Mokhtar Janat, Muhammad al-Dib ben Salem, Mohsen ben Diaf, Moheddine Ben Khalifa, and Muhammad al-Hadi ben Saleh. I would be remiss here not to mention such influential short-story writers as Hind Azouz, Hasan Nasr and, particularly, Ezzeddine al-Madani, whose social realist and experimental style has been crucial to several Tunisian novelists who started writing after independence.

In the two decades that followed independence, the preoccupations of the Tunisian novel revolved around largely didactic and decolonial aims: it exposed sociocul-

tural ills such as witchcraft, alcoholism, gambling, hypocrisy, and ignorance and engaged with (as well as mobilized Tunisians to engage with) the colonial legacy and its sedimentations. The same could be said about the novel in Morocco in the period that followed its independence in 1956. What is somewhat puzzling is that the Moroccan novel did not begin in earnest until the mid-1960s—when Abdelkrim Ghallab published *Sab‘at Abwab* (1965, *Seven gates*) and, particularly, *Dafanna al-Madi* (1966, *We Buried the Past*) and *Al-Mu‘allim Ali* (1971, *Master Ali*)—even though the conditions for an earlier beginning were present: Morocco did not become a French protectorate until 1912, more than thirty years after Tunisia submitted to a similar fate; therefore, it must have had access to Arabic sources of information from the Mashreq without the interposition of the kind of colonial censorship policies that were in place in Tunisia and Algeria. Be that as it may, there have been a few rehearsals of novel writing before Ghallab, which include autobiographical or semibiographical attempts by al-Tohami al-Wazzani (1942, *Al-Zawiya*; *The Hermitage*—literally, *The Corner or The Cell*), Ahmed Abelsalem al-Baqqal (1956, *Ruwad al-majhoul*; *Pioneers of the Unknown*), and Abdelmajid Benjelloun (1956, *Fi al-tufula*; *On Childhood*). The latter’s novel resembles Taha Hussein’s *Al-Ayyam* (1933, *The Days*) in its autobiographical and sentimental strain but lacks the critical maturity and satiric portrayal of Morocco that marks the autobiographical novels of Mohamed Choukri and Muhammad Zafzaf. In addition to Mubarak Rabi‘ and Ghallab, it is with Choukri and Zafzaf that the Moroccan novel reaches the stage of social realism and becomes a vehicle of nationalist, political, and ideological aspirations, disenchantments, and harsh criticisms (particularly in the wake of the 1967 Arab nationalist setback and the

successive 1971 and 1972 coups that sought to dethrone King Hassan II). No wonder, then, that Choukri and Zafzaf wrote novels that were routinely censored in Morocco and elsewhere in the Arab world because of their searing portrayals of social reality.

In the 1980s, the Moroccan novel tended toward experimentation in narrative form and theme and moved beyond the molds of social realist fiction and traditional styles of storytelling. Authors as various as Abdallah Laroui, Muhammad al-Haradi, Muhammad Ezzeddine al-Tazi, Al-Miloudi Shaghmoum, Muhammad al-Ash'ari, Mohamed Berrada, and Bensalem Himmich, among others, variably made use of stream of consciousness, polyphony, flashback, prolepsis, allegory, folktales, dreams, fantasy, history, mysticism, and philosophy in order to rediscover reality through mirrors rather than portray it through mimetic realism (see NARRATIVE TECHNIQUE). The same can be said about a number of Tunisian novelists in the 1980s, including Muhammad Tarshouna, Slaheddine Boujeh, Salimi al-Habib, and Aroussia al-Nalouti. There might not be much here that is specifically Moroccan or Tunisian about these techniques of novel writing beyond their local appropriations, but it is a feat of the Maghrebian novel that it compressed neatly the otherwise long stages of development of the European novel from REALISM to post-modernism. This accomplishment has been achieved on a smaller scale in Libya and Mauritania partly because both countries possess few (albeit important) novelists and partly because they are located on the outskirts of the Maghreb and, in the case of Mauritania, on the outskirts of both the Arab world and Black Africa.

Libya is the only country in the Maghreb to have submitted to Italian rather than to French rule and for the shortest period of time (1912–51). Yet, because Italian colonialism was averse to literacy (e.g., Musso-

lini built no schools), the emergence of the novel was retarded till the early 1970s (if we discount Huseen Zafer Ben Moussa's 1937 *Mabrouka* and Muhammad Farid Syala's 1961 *I'tirafatu Insan*, or *Confessions of a Human Being*, because of the controversies surrounding their publication, circulation, and censorship). Other post-independence novelists include Muhammad Ali Omar, who published two novels between 1962 and 1964, but the real beginning of the Libyan novel occurs after the dissolution of the monarchy during the 1969 revolution and with the foundation of the Union of Libyan Writers (which, ironically, transformed writers from forces of rebellion to advocates of the revolution), the establishment of new publishing houses, and the rise of such internationally acclaimed novelists as Al-Sadiq al-Nayhum, Khalifa Hussein Mustapha, Ahmad Ibrahim al-Faqih (a.k.a. Ahmed Fagih), and, particularly, Ibrahim al-Koni, whose novels brought Tuareg and desert culture to a worldwide readership, consolidating a trend of Maghrebian Sufi literature that was inaugurated by the writings of al-Messadi and carried on by several other novelists, particularly in Morocco, Algeria, and Mauritania.

Mauritania is arguably the only Maghrebian country in which the novel is a true latecomer. Obtaining its independence in 1960 (albeit, ironically, not abolishing slavery until 1980), Mauritania remained true to its reputation as "the land of a million poets" (with poetry writing undertaken not only in classical Arabic (form) but also in Fulani, Wolof, and Soninke) until 1981 when Ahmed Ould Abdelqader, an accomplished poet himself, took it upon himself to pioneer the Mauritanian novel. He published *Al-asma' al-mutaghayyira* (*The Changing Names*) in 1981 and *Al-qabr al-majhoul* (*The Unknown Grave*) in 1984; both novels were critical of the Ould Daddah one-party system (1960–78),

servility to France, and the vision of “Greater Mauritania,” which brought the country to near-collapse. While Tène Yousouf Guèye and Di ben Amar published novels in French in the 1980s, it was not until Moussa Ould Ebnou published *L’amour impossible* (Impossible Love) in 1990 and *Barzakh* in 1994 that the Mauritanian novel reached a stage of maturity in terms of its narrative form and thematic content. Ould Ebnou’s novels bring into intimate collision philosophy and literature, myth and history, social realism and politics, and, above all, SCIENCE FICTION and mysticism (the former is a rarity in Arab literature and the latter a mark of the Maghrebian novel, according to Ghazoul). What is important to stress here is that Ould Ebnou wrote both novels in French first and then Arabicized—not translated—they himself under the titles of *Al-hub al-mustahil* (1999) for *L’amour impossible* and *Madinat al-riyah* (1996) for *Barzakh*.

MULTILINGUALISM AND ITS DISCONTENTS

While in all the UMA member states discussed above the novel first appeared in Arabic, in Algeria it appeared in French. More than a dozen novels were published in the first half of the twentieth century by, among others, Seddik Ben El-Outa, Caïd Ben Cherif, Abdelkader Hadj Hamou, Saïd Guennoun, Assia Zehar, Djamilia Dêbêche, and Taos Amrouche. These pioneering novelists were critically neglected not only because they wrote in French but also because they wrote under the influence of the variably assimilationist or atavistic Latinism as well as Orientalist racism of colonialist French writers, namely Louis Bertrand, Robert Randau, and Louis Lecoq. Unlike these early novelists who were variably fascinated by and assimilated to French culture,

the generation of Francophone novelists that emerged in the 1950s—including Mouloud Feraoun, Mouloud Mammeri, Mohammed Dib, Kateb Yacine, Assia Djebar, and Malek Haddad—had a strong commitment to Algerian independence and dramatized the experience of alienation, identitarian crisis, and anger against colonization. Many of these novelists and several others—namely Nabile Farès and Rachid Boujedra—went on to write in the following decade novels expressive of popular disenchantment and discontent with the FLN (National Liberation Front), whose transition from a revolutionary organization to a political organ was marred by cumulative factionalism and serial military dictatorships. It was not until the early 1970s when dozens of novels had already appeared in French that the Arabic novel emerged with the publication of Abdelhamid Ben Hadduga’s *Rih al-janoub* (*The South Wind*) in 1971 and Tahir Wattar’s *Al-zilzal* (*The Earthquake*) in 1974. In the decade that followed, a record number of more than sixty Arabic novels were published, including novels by the now canonized Wasini Laraj and Rachid Boujedra. By the early 1990s, Algeria would see the spectacular birth of its first Arabic woman novelist, Ahlam Mosteghanemi, whose *Dhakirat al-jasad* (1993, *Memory in the Flesh*) continues to be one of the most sold and widely read novels in the Arab world.

The delayed start of the Arabic novel in Algeria had been routinely attributed to the cultural and linguistic longevity of French settler colonialism from 1830 to 1962 and beyond; it should equally be attributed to the precolonial lack of centers for teaching Arabic and Islamic civilization such as the Zaytuna Mosque in Tunisia (founded in 732) or the Qarawiyin Mosque in Morocco (founded in 859), both of which ensured the endurance and cultivation of Arabic throughout the French colonial era. It is worth noting here that both Ben Hadduga

and Wattar studied in the Zaytuna Mosque because of the lack of the infrastructure for teaching Arabic in colonial Algeria, where Arabic was legally a foreign language. Not unexpectedly, the FLN was eager after independence not only to make up for such a lack, but also to embark on a process of cultural Arabization and linguistic Arabization which would fuel debates about language, ethnicity, and national identity among Arabophone, Berberphone, and Francophone communities in Algeria and across the Maghreb. Kateb Yacine, who famously claimed that he wrote in French to tell the French he was not French, would abandon French shortly after independence and devote himself completely to creating drama in the Algerian dialect; Malek Haddad would also reject French only to withdraw into silence for the rest of his life, given that he could not write in Arabic (and, hence, becomes, in the eyes of Mosteghanemi, “a martyr of the Arabic language”); Rachid Boujedra, however, would successfully switch to writing in Arabic after fulfilling his contractual obligations and producing six novels in French; in 1981, he published *Al-tafakkuk* and translated it into French as *Le Démantèlement* (1982, *The Dismantling*). During the Algerian civil war between the army-led government and FIS (Islamic Salvation Front) in the 1990s, the choice of the language of expression was not inconsequential, since Francophone writers and journalists were routinely targeted for assassination (e.g., Tahar Djaout and Youssef Sebti) and forced into exile (e.g., Boujedra, Djebbar, Mammeri, and Rachid Mimouni).

The joined-up forces of Arab nationalism (*uruba*) and Arabicization (*ta'rib*)—which promised the political unity of the Maghreb and the Mashreq on the basis of the extra-territorial bonds of language, culture, and history—sought to eradicate French from public life and restore Arabic throughout the Maghreb and particularly Algeria where

a *fatwa* (a religious decree or ruling) against teachers of French went hand-in-hand with a massive recruitment policy of teachers of Arabic from the Mashreq. Although it was officially reduced to a foreign language—and although Algeria routinely declined membership in the *Organization internationale de la francophonie*—French has continued to dominate daily and weekly newspapers, education, and government (Abdelaziz Bouteflika’s first national speech in April 1999 was in French), which leaves largely unfulfilled the promise of national unity on the basis of language (all the more so given the Berber resurgences and defiance of the post-independence clampdown on Amazigh studies and indigenous languages). Since the imposition of Arabic as the national language, the Francophone Algerian novel has flourished beyond expectations, as if Algerian novelists were energized by the paradox of writing in the colonizer’s language—really, a language whose semblance of underdog status in postcolonial Algeria only matched its legitimizing and marketing powers in Paris. Boudjedra, the *enfant terrible* of the Algerian novel, reverted back to writing in French in the wake of the Algerian civil war and in such nonfiction works as *FIS de la haine* (1992, *The FIS of Hatred*) and *Lettres algériennes* (1995, *Algerian Letters*). Surely, the Algerian civil war has provoked a novelistic insurgency of sorts, yet it is Paris that provided the incentive: many exiled Francophone novelists such as Yasmina Khadra, Malika Mokeddem, and Leila Sebbar produced their novels at a secure distance from the events in Algeria and catered for the thirst for knowledge about the war that had struck the French public sphere and which the publishing industry capitalized on.

The Francophone Algerian novel has derived its legitimacy, at least in part, from its marketability. Yet it does not suffice to write in French to be marketable. With few

notable exceptions (Tahar Ben Jelloun, Driss Chraïbi, Abdellatif Laâbi, Abdelwahab Meddeb, Mustapha Tlili, and Albert Memmi), the Moroccan and Tunisian Francophone novel has generally garnered less attention than its Algerian counterpart. In fact, during the Algerian civil war, Orientalist and marketing calculations combined to valorize the Francophone Algerian novel (almost beyond measure) and simultaneously ignore the Francophone Tunisian and Moroccan novel produced at the same time. The same scenario replayed itself in the wake of 9/11, when not only the Francophone but also the Anglophone world became thirsty for knowledge about Islam and Islamism. Several Francophone novelists (e.g., Slimane Benaïssa, Zahia Rahmani, Salim Bachi, and Yasmina Khadra) felt warranted in writing 9/11 novels because of their vicarious or firsthand experiences of the Algerian civil war. I do not wish to undermine the value of these novelists or their novels, but any discussion of the novel in the Maghreb must confront at the outset the technologies of literary value which are inevitably entangled with questions of language, geopolitics, and marketing.

Despite the ideologies of Arabization and Arabicization, the multilingualism of the Maghreb has challenged the continuum of language and nationalism (see NATIONAL), yet by no means should it undermine the politics of language choice, particularly when such politics is dramatized, displaced, or resolved at the level of narrative poetics as is the case, most notably, in Assia Djebar's and Abdelkebir Khatibi's novels. Today, the novel in the Maghreb is truly multilingual, yet with profound power asymmetries between Arabic, French, Berber, and English. Hence, multilingualism is also another word for competitive or insulated monolingualisms, particularly made worse by the lack of translations between languages. For instance, while the Tunisian novelistic

tradition is the oldest in the Maghreb, not even a handful of novels have—at this time, one decade into the twenty-first century—been translated from Arabic into English.

In addition to the Arabophone and Francophone novel, which continues to flourish consistently, the Maghrebian novel is consolidating itself in France with the emergence of such immigrant and *Beur* (French *verlan* slang for Arab) novelists as Leïla Sebbar, Mehdi Charef, Azouz Begag, Farida Belghoul, Faïza Guène, Tassadit Imache, Akli Tadjer, and *harki* (Algerian soldiers loyal to France) novelists like Zahia Rahmani, Dalila Kerchouche, and Brahim Sadouni. Maghrebian novelists such as the Moroccan Anouar Majid and Laila Lalami, the Tunisian Sabiha al-Khemir and the Libyan Hisham Matar have written successful novels in English; indeed, Matar's *In the Country of Men* was shortlisted for the 2006 Man Booker Prize. Other immigrant Maghrebian novelists have taken up writing in a multitude of languages, including Italian (Nassera Chora, Abdelmalek Smari, and Amara Lakhous), Spanish (Najat El Hachmi and Saïd El Kadaoui) and Dutch (Fouad Laroui and Abdelkader Benali). If anything, the multilingualism of the Maghrebian novel might attest to the attenuation of the politics of language, which might, in turn, be a price willingly paid—provided the Maghrebian novel begins to be approached comparatively rather than exclusively from a French and Francophone perspective, which is the ongoing practice in North American universities, or from an equally exclusive Arabophone perspective, which is largely the case in departments of Arabic across the Arab world.

BIBLIOGRAPHY

- Allen, R. (2007), "Rewriting Literary History," *Journal of Arabic Literature* 38:247–60.

- Berrada, M. (2008), *Al-riwaya dhakira maftouha*.
- Dobie, M. (2003), "Francophone Studies and the Linguistic Diversity of the Maghreb," *Comparative Studies of South Asia, Africa and the Middle East* 23(1–2):32–40.
- Ghazoul, F.J. (1997), "Al-riwaya al-sufiya fil-adab al-magharebi," *Alif* 17:28–53.
- Hassan, K.J. (2006), *Le roman arabe (1834–2004)*.
- Johnson, R.C., R. Maxwell, and K. Trumpener (2007), "The Arabian Nights, Arabo-European Literary Influence, and the Lineages of the Novel," *Modern Language Quarterly* 68(2): 243–79.
- Kilito, A. (2006), "Qissa," in *Novel*, ed. Franco Moretti, vol. 1.
- Laroussi, F. (2003), "When Francophone Means National," *Yale French Studies* 103:81–90.
- Mortimer, M., ed. (2001), *Maghrebiana Mosaic*.
- Omri M.-S. (2008), "Local Narrative Form and Constructions of the Arabic Novel," *Novel* 41 (2–3):244–63.
- Said, E.W. (2003), "Arabic Prose and Prose Fiction After 1948," in *Reflections on Exile and Other Essays*.
- Sakut, H. (2000), *Modern Arabic Novel*, 6 vols.
- Salhi, Z.S. (1999), *Politics, Poetics and the Algerian Novel*.

Northern Europe

JAN SJÄVIK

The novel of the Nordic countries has its roots in the medieval Icelandic sagas, the oral narrative tradition of the Scandinavian countries, and the continental European literary tradition. As modern Scandinavian literary culture gradually developed under the influence of such forces as the Lutheran reformation and the Humanist tradition, texts written in the vernacular languages gradually replaced the Latin writings of medieval priests and monks. The antiquarian concerns of some of the major Scandinavian humanists, few though they were, led to a renewed interest in the literary monuments of the high Middle Ages that were preserved primarily in Icelandic manuscripts, and the works of Snorri Stur-

luson and other medieval saga writers began to be studied and translated into the modern Scandinavian languages. The oral literature of the Nordic countries later became the object of similarly enthusiastic attention.

It may seem paradoxical, however, that one of the earliest Scandinavian fictional narratives of any length was not written in the vernacular. Ludvig Holberg wrote his novel *Nicolai Klimii Iter Subterraneum* (1741, *Journey to the World Underground*) in Latin in order to escape possible legal consequences, for his narrative is highly critical of contemporary European political institutions, including the Danish absolute monarchy, whose subject he was. It tells the story of one Niels Klim, who enters a cave near the city of Bergen, Norway, and discovers a new and different world hidden inside the earth. Niels travels extensively in this world, encountering a variety of peoples and countries that together offer a kind of fun-house reflection of Holberg's contemporaries.

Scandinavia had only the rudiments of literary and cultural institutions prior to 1850, and only a limited number of novels were produced. Under the influence of German GOTHIC fiction, the Norwegian Maurits Hansen published a number of rather hastily written tales full of villains, ruins, supernatural occurrences, and strange coincidences, but also governed by an idealist worldview. His Swedish contemporary Carl Jonas Love Almqvist shared a similar attraction to Romanticism's dark side, but his best work is marked by early literary realism, as in his short novel *Det går an* (1839, *Why Not?*). This work also has a strong FEMINIST slant, as its protagonist, Sara Videbeck, is a glazier who privileges economic independence over conventional marriage. A certain REALISM coupled with Romantic idealism is also found in the novels of the Dane Hans Christian Andersen, most of them written in

the 1830s and 1840s, before he became famous for his shorter fiction. The Swede Fredrika Bremer wrote a number of novels dealing with middle- and upper-class life; one of them, *Hertha, eller en själs historia* (1856, *Hertha*), points forward to the feminist concerns of the second half of the century.

THE GOLDEN AGE, 1850–1900

The second half of the nineteenth century is the Golden Age of the literature of the Nordic countries, when a substantial cohort of writers created works that stood at the forefront of European writing. While the dramatic work of such writers as Henrik Ibsen (1828–1906) and August Strindberg has withstood the test of time better than that of the Nordic novel of the period, many more novels than plays were written, and the audience of fiction was generally larger than that of drama. Gradually a class of professional novelists—both men and women—arose. Most of these writers were on the left in both politics and the cultural debate and subscribed to a view strongly advocated by the Danish critic Georg Brandes (1842–1927), that the primary mission of contemporary literature was to debate current issues. The most important such issue in the Scandinavian novel of this period was the proper place of women both in the home and in society, but this body of literature also debates other matters, including religion, a favorite target of Scandinavian realists and naturalists (see NATURALISM). In tandem with the emphasis on depicting modern life there was also a modernization of style and narrative technique.

Throughout the 1850s the idealism of the Romantic era was clearly on the wane in the novels of Northern Europe. Camilla Collett wrote about the plight of upper-class daughters in Norway's first truly modern

novel, *Amtmandens Døtre* (1854–55, *The District Governor's Daughters*). While critical of contemporary society, Collett uses a fairly traditional NARRATIVE TECHNIQUE and speaks in a genteel tone. Her fellow Norwegian Amalie Skram, who wrote about women of all social classes, is, by comparison, both bitter and angry, and is motivated by a naturalistic worldview. The Swede Victoria Benedictsson was particularly clear-sighted with regard to women's economic position, as demonstrated by her novel *Pengar* (1885, *Money*). Several works by the Norwegian Jonas Lie dealt with women's issues, e.g., *Familjen paa Gilje* (1883, *The Family at Gilje*), in which a talented young woman rejects marriage in favor of economic independence, and *Kommandørens Døtre* (1886, *The Commodore's Daughters*), the title of which evokes that of Collett's earlier book.

One of the most significant stylistic innovators in the 1850s was the Norwegian Bjørnstjerne Bjørnson, who drew on both the oral style of the medieval sagas and such oral literature as legends and folktales in several peasant tales, *Synnøve Solbakken* (1857), *Arne* (1859) and *En glad Gut* (1860, *A Happy Boy*). These works eschew such traditional narrative devices as long declarative sentences, the use of fictional diary entries, and apostrophes to the reader, and Bjørnson's narrative style became widely imitated across the region. His concern with rural life found a parallel in the best-known novel written in Finnish, *Seitsemän veljestä* (1870, *Seven Brothers*), by Aleksis Kivi, which tells the story of a group of young men who leave civilization behind and take refuge in the woods for several years.

Religion is a major theme in the work of the Dane Jens Peter Jacobsen, who in *Niels Lyhne* (1880) examines the power of inherited RELIGION over the mind of an avowed atheist. The book's eponymous protagonist

sacrifices greatly for his unbelief but finally turns to God in prayer, receiving no answer. The Norwegian Alexander L. Kielland mercilessly satirizes both the established state-church and low-church pietistic religion in several works, among them *Garman & Worse* (1880) and *Skipper Worse* (1882), a prequel to the former. Arne Garborg, another Norwegian, attacked the use of religion in the education of children and youth in his novel *Hjaa ho Mor* (1890, *Living with Mama*), in which he touched on the connection between religion and the physical abuse of children. His later novel *Trætte Mænd* (1891, *Weary Men*) offers an ironic depiction of the relationship between religion and sexuality, a theme that had also been discussed in *Hjaa ho Mor*.

Around 1890 the foremost novelists of Northern Europe abandoned their focus on social themes and centered their attention on the interior life of human beings (see NOVEL THEORY, 19TH C). Strindberg, the Swedish dramatist who also wrote a number of important novels, anatomized his first marriage in *Le plaiyoyer d'un fou* (1888, *The Confessions of a Fool*), which was originally written in French. *I havsbandet* (1890, *By the Open Sea*), which extolled the qualities of a Nietzschean superman, also showed, however, that the mind's irrational forces are an ever-present danger. The Dane Herman Bang offered portraits of both personal and familial decline, while in Sweden Selma Lagerlöf memorialized the past of her home district—including some of its distinctive inhabitants—in *Gösta Berlings saga* (1891, *The Story of Gösta Berling*).

The most significant novelist of the Scandinavian countries is Knut Hamsun, who almost singlehandedly created the modern PSYCHOLOGICAL novel through the publication of four works that probe the human subconscious, *Sult* (1890, *Hunger*), *Mysterier* (1892, *Mysteries*), *Pan* (1894), and

Victoria (1898). Hamsun's early protagonists are troubled individuals whose actions are motivated by irrational forces which they do not themselves fully comprehend, but which the author tries to allow the reader to decode. Hamsun's approach to psychology was intriguing to many of his contemporaries, and he became a significant early contributor to the movement later to be known as MODERNISM.

NEOREALISM AND MODERNISM

The dominant style in the twentieth-century Nordic novel is psychological realism, coupled with modernist themes and motifs. Echoes of the great nineteenth-century realists are also to be found, particularly in a pervasive concern with social and historical developments. For example, Hamsun turned away from the experimental psychology of his earliest novels in such works as *Børn av tiden* (1913, *Children of the Age*), *Segelfoss by* (1915, *Segelfoss Town*), and *Markens grøde* (1917, *Growth of the Soil*), in which he offered a historically based—and utterly scathing—critique of modernity. The Danes Johannes V. Jensen and Hans Kirk also exemplify this turn, the former in the psychological study *Kongens Fald* (1900–1901, *The Fall of the King*), as well as in a six-volume cycle entitled *Den lange Rejse* (1908–22, *The Long Journey*), which tells a Darwinian story of life from before the Ice Age to the height of the industrial period. Kirk interrogated the nature of religious life in *Fiskerne* (1928, *The Fishermen*, 1999), a collective novel that was influenced by both Marxism and Freudianism as it portrayed a group of fishermen and their families (see MARXIST). The Swede Selma Lagerlöf memorialized the past of her home district in the aforementioned *Gösta Berlings saga*. Psychological realism was an important feature of

many HISTORICAL novels as well, as, for example, the *Kristin Lavransdatter* trilogy by Sigrid Undset, which consists of the volumes *Kransen* (1920, *The Bridal Wreath*), *Husfrue* (1922, *The Mistress of Husaby*), and *Korset* (1922, *The Cross*), and has been translated into over seventy languages.

Scandinavia's most important theorist of modernism is Pär Lagerkvist, who was active as a poet and dramatist as well as a novelist. In his semi-allegorical novel *Dvärgen* (1944, *The Dwarf*), he attempts to explain the rise of evil in twentieth-century Europe. The Norwegian Cora Sandel, on the other hand, focused on such modernist themes as the development of the artist and the role of the city. A trilogy consisting of the volumes *Alberte og Jakob* (1926, *Alberta and Jacob*), *Alberte og friheten* (1931, *Alberta and Freedom*), and *Bare Alberte* (1939, *Alberta Alone*) details her own development, particularly during her life in Paris during the 1920s. The Dane Tom Kristensen interrogated the theme of personal identity in *Hærværk* (1930, *Havoc*), which is set in Copenhagen in the 1920s and presents the self-destructive behavior of the author's alter ego.

THE NORDIC NOVEL AFTER WWII

WWII was a traumatic experience for all of Scandinavia, but particularly for Denmark and Norway, which were occupied for five years, and also for Finland, which saw much conflict. The events of the war figure in a major way in the postwar novel. In Finland, Väinö Linna wrote the pacifist *Tuntematon Sotilas* (1954, *The Unknown Soldier*), which tells the story of a platoon of machine-gunners during the Continuation War (1941–44). In Norway, Jens Bjørneboe investigated both the war experience as such in the novel *Under en hårdere*

himmel (1957, *Under a Harder Sky*), in which the treatment of collaborators was discussed, and in a number of novels that dealt with the problem of evil in a more general sense. Sigurd Hoel offered an analysis of the psychological background for collaboration in *Møte ved milepelen* (1947, *Meeting at the Milestone*), while Tarjei Vesaas discussed the war in allegorical terms in *Huset i mørkret* (1945, *The House in the Dark*, 1976). The Icelander Halldór Laxness detailed some of the war's consequences for his homeland in *Atómstöðin* (1948, *The Atom Station*).

While the Scandinavian novel had generally had a progressive bent, a significant radicalization took place in the late 1960s and early 1970s, when many novelists became strongly interested in Maoism as well as engaged in opposition to the Vietnam War (1955–75) and the increasing power of multinational corporations. The documentary novel became widely used as a means of furthering leftist causes. The Norwegians Edvard Hoem and Tor Obrestad both presented fictionalized attempts to bring about a Marxist—Leninist revolution in Norway, while the Swedes Per Olof Sundman, Per Olov Enquist, and Sara Lidman wrote about various historical persons and topics.

During the last two decades of the twentieth century, the Nordic novel became strongly influenced by postmodernist ideas and techniques. Kjell Westö masterfully mixes elements of high and low culture in *Drakarna över Helsingfors* (1996, *Kites above Helsinki*), which traces the development of capitalism in Finland. Kjartan Fløgstad uses similar narrative devices in his novels, including *Dalen Portland* (1977, *Dollar Road*), which details the development of the hydroelectric industry in western Norway. The Dane Peter Høeg uses elements of the crime novel (see DETECTIVE) in his very successful *Frøken Smillas fornemmelse for sne* (1992,

Smilla's Sense of Snow) and *Kvinden og aben* (1996, *The Woman and the Ape*), a critique of the scientific mindset. In Sweden, P. C. Jersild both reimagines the course of human history and parodies the writing of history in *Geniernas återkomst* (1987, *The return of the geniuses*). Elements of METAFICTION and MAGICAL REALISM remain important in the novel of Northern Europe.

SEE ALSO: Epic, History of the Novel, Mythology, National Literature, Romance.

BIBLIOGRAPHY

- Algulin, I. (1989), *Contemporary Swedish Prose*.
 Bisztray, G. (1976), "Documentarism and the Modern Scandinavian Novel," *Scandinavian Studies* 48:71–83.
 Gustafson, A. (1940), *Six Scandinavian Novelists*.
 Laitinen, K. (1984), "The Finnish War Novel," *World Literature Today* 58:31–35.
 Magnusson, S. (1968), "The Modern Icelandic Novel," *Mosaic* 1:83–93.
 Mawby, J. (1978), *Writers and Politics in Modern Scandinavia*.
 Rees, E. (2005), *On the Margins*.
 Schoolfield, G. (1962), "The Postwar Novel of Swedish Finland," *Scandinavian Studies* 34:85–110.
 Sjøvik, J. (2004), *Reading for the Truth*.
 Sjøvik, J. (2006), *Historical Dictionary of Scandinavian Literature and Theater*.

Nouveau roman *see* Description; France (20th Century)

Novel Theory (19th Century)

NICHOLAS DAMES

There was little that went under the name of "novel theory" in the nineteenth century in Europe; indeed, the first real use of the term

"theory" in connection with the novel form came late in the century, with the 1883 publication of the German novelist Friedrich Spielhagen's *Beiträge zur Theorie und Technik des Romans* (*Essays on the Theory and Technique of the Novel*). This absence of an easily identifiable nineteenth-century "novel theory" has led most contemporary scholars to decide that before the twentieth century the novel had not been truly theorized. Most histories and anthologies of "novel theory" begin no earlier than the critical works of Henry James, assuming that the twentieth century was the period that belatedly attempted to understand the genre that the nineteenth century unreflectively generated (see NOVEL THEORY (20TH C.)). This is a mistake born of the nineteenth century's very different labels for, ideas about, and locations of theorizing the novel form. To excavate the novel theories of the nineteenth century, we need first to reorient our sense of where, in literary and cultural space, they could be found.

Whereas twentieth-century novel theory appeared in the form of well-shaped, often academic books, starting with Georg LUKÁCS'S 1920 *Theory of the Novel*, nineteenth-century versions tended more often to be journalistic in mode, scattered across the print runs of such important venues as the *Contemporary* in Russia, the *Fortnightly Review* or *Blackwood's* in Britain, or the *Revue des deux mondes* in France. Other locations were prefaces to controversial novels, such as those by Edmond and Jules de Goncourt, Guy de Maupassant, and Émile Zola; theories of aesthetic sensation, such as *The Gay Science* (1866) by the British critic E. S. Dallas (1828–79); physiologies of consciousness, such as *The Emotions and the Will* (1859) by the eminent British psychologist Alexander Bain (1818–1903); and the relatively new genre of the national literary history, such as Hippolyte Taine's (1828–93) *Histoire de la littérature anglaise* (1864, *History of English*

Literature), David Masson's (1822–1907) *British Novelists and Their Styles* (1859), or Charles-Melchior de Vogüé's 1886 *Le roman russe* (*The Russian Novel*). By contrast, the most eminent critics of the period, such as France's Charles Augustin Sainte-Beuve (1804–69), or Britain's Matthew Arnold (1822–88), shied away from offering any general account of the novel as either a genre or a cultural phenomenon. While most literary historians have focused on the writing of actual novelists, the novel theorists of the nineteenth century were just as likely to be journalists or occasional critics; and they were often interested in psychological science, particularly physiological psychology, one of the nineteenth century's most prevalent theories for human receptivity (see *REVIEWING*). Insofar as the discipline of literary studies had not yet been institutionalized in universities, the study of the novel was an amateur pursuit, often borrowing from disciplines (the natural sciences, psychology, evolutionary biology) that were more securely institutionalized. And given the novel's unparalleled popularity, nineteenth-century theorists of the novel were more willing than their twentieth-century offspring to confront not just a restricted set of acknowledged masterpieces but rather the cultural phenomenon of the novel as a whole. What the student of nineteenth-century novel theory finds, in fact, is that the century's haphazard but nonetheless suggestive accounts were attempts to confront what seemed like a new object of knowledge: the novel as a cultural medium, and novel reading as a strange cultural practice.

UNDERSTANDING THE MEDIUM: NOVEL READING

It is in Britain that what might be called the early “media studies” of the novel began, with the attempt to differentiate the novel

from its great generic predecessor, the drama. As early as Edward Bulwer-Lytton's 1838 “On Art in Fiction,” the distinctiveness of the novel is ascribed to the way it is consumed: in private, by oneself, as opposed to the public setting of the drama. For Bulwer-Lytton, the novel is not just a new literary genre but what we would today call a new medium: a culturally significant rearrangement of communicative possibilities between producer and consumer. The pertinent result of this rearrangement is a different set of affective relations; the drama concentrates on public and universal passions, while the novel, Bulwer-Lytton insists, appeals to “those delicate and subtle emotions, which are easily awakened when we are alone, but which are torpid and unfelt in the electric contagion of popular sympathies” (145). Two elements of Bulwer-Lytton's analysis are characteristic of much of the writing done in Victorian Britain on the novel form: its value-neutral acceptance of solitary reading, and its preference for a language of affect, or kinds of feeling. A study of communicative relations—or, how solitary reading uniquely configures the possibilities of aesthetic experience—leads inevitably to a study of the reader's receptive states (see *COGNITIVE*).

As a result, psychologists and physiologists began to take an interest in the reading of fiction. Bulwer-Lytton's description of the novel reader's “delicate and subtle emotions” would be the terrain of much mid-Victorian work, as critics and psychologists attempted to be more precise about what those subtle emotions are, and how they are created. Britain was, from the 1840s until the late 1870s, at the forefront of European work on the physical and psychological laws of nervous receptivity, known more generally as “physiology,” and many of the important practitioners of physiology turned their attention to novel reading as an important case study of how the mind

receives and processes stimuli. The most influential practitioner of this school of novel theory was G. H. Lewes (1817–78), the polymath author, literary critic, and physiologist, as well as George Eliot's partner. In a series of pivotal articles written in the middle decades of the century, as well as a collected series of lectures published in 1865 as *The Principles of Success in Literature*, Lewes proclaimed that the proper task of the critic was to understand how the visible forms of a literary genre work to produce certain affective results in the reader. Lewes's word for this causal connection was "construction": the ways in which authorial workmanship—most importantly in plotting—produces certain kinds of readerly receptivity.

Other important mid-century critics followed suit. The second volume of E. S. Dallas's *Gay Science* offered an account of the novel as the genre of mass identity, in which the workings of plots to prohibit heroic action produce in the reader a feeling of sympathetic identification, in which we see ourselves mirrored by average, ordinary protagonists. Alexander Bain, in his magisterial *The Emotions and the Will*, described the novel as "the literature of plot-interest," in which the mechanics of plot produce a distinctive psychological mechanism called "engrossment." In France, Émile Hennequin's (1859–88) *La critique scientifique* (1888, *Scientific Criticism*) called for an *esthopsychologie* of the novel, which, Hennequin predicted, would understand the novel as the genre that best produced standard, comparable, invariable responses in its many different readers. As late as the 1890s critics were still turning to Lewes's idea of "construction" as a methodological goal; the British critic Vernon Lee (1856–1935), in articles like her 1895 "On Literary Construction," made a case for novelistic technique as the micro-management of a reader's attention and sympathy. The emphasis on

a reader's physiological and cognitive reception of the novel, and on what those receptions might say about novelistic form, was a primarily British methodology that nonetheless runs through much of nineteenth-century speculation on the form.

REALISM

What British physiological criticism was not particularly interested in was mimesis: how the novel form managed to produce the illusion of reality. Yet the question of the novel's particular brand of mimesis, eventually to be called REALISM, emerged as an important one in the second half of the century. The word realism itself dated only from the late 1840s and early 1850s in France, and was initially applied to visual art; but by the 1860s and 1870s it was a central term in the debates over what, exactly, the methods and aims of novelistic mimesis might or should be. While the nineteenth-century debate over realism was often bewilderingly complicated, two central positions nonetheless emerged over the course of the century. Both could derive ultimate authority from G. W. F. Hegel (1770–1831), whose analysis in the *Aesthetics* of "the rich detail of the phenomenal real world" in Dutch painting provoked two radically different interpretations (173).

The first interpretation was generally associated with domestic realism of the British variety (see DOMESTIC). It explained realism as a particular subject matter: the homely, the everyday, the ordinary, like the *topoi* of the Dutch painting Hegel had praised. George Eliot, in her 1859 *Adam Bede*, argued openly for the Dutch preference for the homely and ordinary, and issued a quasi-religious call for attention to the ordinariness around us. Eliot's emphasis falls here on the quotidian aspect of what Hegel had praised; to the extent that any subject matter

was shocking, unfamiliar, not corroborated by a reader's everyday experiences, it left the realm of "realism." By contrast, a muscular and more radical version of realism advanced on the Continent, where the stress was laid less on subject matter than procedure: realism as a practice of detail. Maupassant's description, from the preface entitled "Le Roman" to his 1888 novel *Pierre et Jean*, is characteristic: "The most insignificant thing contains some little unknown element. We must find it. . . . Make me see in a single word how one cab-horse is distinct from the fifty others in front of it and behind" (Maupassant, 1979, "The Novel," in *Pierre and Jean*, trans. L. Tancock, 33).

Yet the emphasis on detail had an embedded subject matter. In practice, "detail" meant not the detail of Hegel's Dutch paintings—the inanimate surround of comfortable bourgeois life—but the hidden details of lower-CLASS existence, the details that respectable readers are shielded from, knowingly or otherwise. From Edmond and Jules Goncourt to Zola, the stress on a detailed realism meant a firm downward movement of the novel's gaze: toward the unattractive facts of the lives of the urban proletariat. "This book," the Goncourt brothers proudly wrote in the preface to *Germinie Lacerteux* (1864), "comes from the street" (25). Although aligned with the precision of science, realism-as-detail had an inescapably political dimension, which led Anglo-American critics to denounce its reality as partial. The powerful American critic William Dean Howells (1837–1920) responded angrily to the French notion of realism as an exposé, lamenting "the ugly French fetich [*sic*] which has possessed itself of the good name of Realism to befoul it" (W.D. Howells, 1959, *Criticism and Fiction*, 128). Yet radical novelists outside of France, such as George Moore, George Gissing, and Frank Norris, worked against their national traditions by explicitly following the French model (see NATURALISM).

It remained for later novelists working in the realist mold, such as Henry James, to attempt idiosyncratic reconciliations of both versions of realism. The debate, however, persists to the present, particularly in commentary surrounding daringly "realist" film and television narratives (see ADAPTATION).

THE VANISHING AUTHOR

If the debate over the meaning of novelistic mimesis had no clear winner, one central question within nineteenth-century novel theory did: the relation between authorial voice and realism. The position that eventually became an accepted truism was that a properly "realist" or "real" mimesis (the terms were often used interchangeably) needed a guiding authorial presence to vanish. Realism became aligned here with the supposed objectivity of photography and science, and—in the nineteenth-century understanding—both scientific objectivity and photographic truth were notable for erasing the shaping hand of either scientist or photographer. In one sense this claim on behalf of the entirely transparent authorial function was an old one, and continually reiterated throughout the century in a set of different metaphors. Honoré de Balzac, in the 1842 "Avant-Propos" to his *Comédie humaine* (human comedy), described himself as merely a "secretary" transcribing social reality without distortion. In his 1880 manifesto "Le Roman expérimentale" ("The Experimental Novel"), Zola claimed for the novel the status of an observational science. These were, however, epistemological and not technical claims for the novel; they attempted to erase the distinction between science and novel and were not tied to any particular formal feature of novelistic prose.

This began to change in the 1880s, when several key publications generated a particular aesthetic approach to realist

transparency. With the publication of Friedrich von Spielhagen's *Beiträge zur Theorie und Technik des Romans* (*Theory and Technique of the Novel*) in 1883, the correspondence of Gustave Flaubert in 1883 in part and in 1887 in whole, and James's "The Art of Fiction" in 1884, this aesthetic approach had a series of foundational texts. It also had a recognizable term: *impassibilité*, or "indifference," "impersonality." Spielhagen's collection emphasized the author's responsibility to objectify every possible idea through a character's speech. James's seminal essay complained about the shattering of the mimetic illusion created by authorial intrusions of the kind beloved by Victorian novelists. For both critics, the contemporary novel was lamentably deficient in proper technique; unlike the work of British physiological novel theory, Spielhagen and James were openly prescriptive, not merely descriptive. Similarly, both Spielhagen and James made novelistic objectivity not a result of a scientific outlook, as in Balzac or Zola, but instead the outcome of a difficult aesthetic process in which the merely personal voice would be renounced.

Flaubert's letters, however, were even more influential. They provided this movement for aesthetic objectivity with memorable formulations and slogans. "An author in his book must be like God in the universe, present everywhere and visible nowhere," one important declaration ran (173). Flaubert's proclamations were explicitly aesthetic—or, as above, theological—rather than appeals to scientific practice. One result of the Flaubertian shift away from scientific objectivity was to purge novel theory of the taint of radicalism; as a practice, *impassibilité*, unlike Zola's realism, had no obvious political connotations. Whereas Zola's *roman expérimentale* was freighted with the legacy of scientific rationalism and leftist politics, Flaubert's aesthetics, as limned from his letters, were a matter of

purely aesthetic hierarchies. The danger for Flaubert was not, it seemed, political quiescence, but the novel's usual lazy discursivity. Absent this tendency to preachiness, the novel might move up the hierarchy of artistic forms.

Such, at least, was the lesson gleaned from Flaubert, and the openly expressed desire of Spielhagen and James. And such was the birth of what would be a twentieth-century mode of novel theory: **FORMALISM**. Spielhagen's idea of objectification through character became, in James's later criticism, the pivotal idea of "point of view," the mechanism through which the author is eliminated from the scene of narration (see **NARRATIVE PERSPECTIVE**). In later theories of the novel this would become the famous distinction between "showing" and "telling." What late nineteenth-century formalism did to novel theory, however, was even more significant than sidestepping the political questions that Balzac and Zola had made prominent. It occasioned a fundamental reorientation of the whole question of the novel's meaning and function. What had been a study of the novel as a medium, rooted in a consideration of novel reading, became an author-centered theory—albeit one that sought to best understand how the author might disappear. A consideration of the novel as a force in the world, a cumulative impact of numberless novels, was replaced by the careful, precise consideration of a smaller set of representative, canonical novels (Flaubert's most prominently) in order to proclaim the novel's true, proper aesthetic. With this pivotal reorientation, a new century of novel theory began.

SEE ALSO: Definitions of the Novel, History of the Novel, Psychological Novel.

BIBLIOGRAPHY

- Bulwer-Lytton, E. (1838), "The Critic—No. 2: On Art in Fiction," *Monthly Chronicle* 1:138–49.

- Dames, N. (2007), *Physiology of the Novel*.
 Flaubert, G. (1980), *Letters of Gustave Flaubert, 1830–1857*, trans. F. Steegmuller.
 de Goncourt, E. and J. (1980), *Préfaces et Manifestes Littéraires*, ed. H. Juin.
 Hegel, G.W.F. (1975), *Aesthetics*, trans. T. M. Knox, vol. 1.
 James, H. (1984), *Essays on Literature, American Writers, English Writers*.
 Spielhagen, F. (1883), *Beiträge zur Theorie und Technik des Romans*.
 Wellek, R. (1965), *History of Modern Criticism*, vol. 4.
 Yeazell, R. (2007), *Art of the Everyday*.
 Zola, E. (1893), *Experimental Novel and Other Essays*, trans. B. Sherman.

Novel Theory (20th Century)

KENT PUCKETT

What characterizes novel theory in the twentieth century? In the broadest terms the phrase “twentieth-century novel theory” refers to any and all thinking about the novel over the course of those hundred years. Insofar as the novel emerged in the eighteenth and nineteenth centuries as a distinctly authoritative literary form, novel theory is the large and disparate effort to account for the rise, shape, and limits of the novel as a literary form and as a historical phenomenon. However, if the novel has encouraged many kinds of critical response, there are a few key concepts that give the field of novel theory thematic and intellectual coherence. Oddly enough, one of the most important of these concepts comes from someone who had relatively little to say about the novel: the German sociologist Max Weber (1864–1920).

THE DISENCHANTMENT OF THE WORLD

In his 1918 lecture “Science as a Vocation,” Weber argues that “disenchantment” marks

the modern world: “The fate of our times is characterized by rationalization and intellectualization and, above all, by the ‘disenchantment of the world’” (1918, *From Max Weber*, ed. H. H. Gerth and C. W. Mills, 155). What gives modern life its character is an absence of meaning, a meaning that in other times counted on the public presence of the divine, the absolute, or the supernatural. If older, less complicated societies could look to “gods and demons” to give life its significance, to make life readable, coherent, and clear, the loss of that supernatural presence leaves the modern world in a state of alienation. The disenchantment of the world, which is for Weber an effect of the increasingly rationalized nature of knowledge production under capitalism, is not simply a theological problem. It is rather the very condition that separates the past from the present and that makes the seemingly fruitless and certainly anxious search for meaning a defining quality of modern life.

Weber’s thesis encouraged others to ask what was and still is a central critical question: If modernity is characterized by its disenchantment, what aesthetic form is best suited to represent that modernity? Although there are different answers to this question, in poetics, philosophy, popular culture, and so on, many have seen the novel as the form especially suited to represent the experience of modernity. In fact, we can see the influence of Weber’s thesis in otherwise unrelated kinds of novel theory. In order to trace out some of the ways in which novel theory can be understood as a response to a disenchanted modernity, it is useful to focus on three representative questions that novel theorists have asked. First, what is a novel if we take the novel as modernity’s representative form? Second, when does the novel emerge and in relation to what specific social, political, or economic conditions? And, third, how does the novel represent its world?

EPIC AND NOVEL

A text that comes closest to embodying Weber's thesis is also one of the most important within the field of novel theory. Georg LUKÁCS's *The Theory of the Novel*, first published in 1916, was written while he was a member of Weber's circle. Lukács defines the novel in relation to EPIC, an earlier form that he associates with "integrated civilizations," claiming, "Happy are those ages when the starry sky is a map of all possible paths—ages whose paths are illuminated by the light of the stars. Everything in such ages is new and yet familiar, full of adventure and yet their own" (29). Because these ages organize themselves around the presence of what he calls a "transcendental locus," they are experienced as coherent, harmonious, and legible totalities (29). And the epic, by which Lukács means the great Greek epics, is the form that best represents the experience of that total form of life.

The novel, modernity's answer to the epic, is similarly interested in representing totality. However, because inhabitants of the modern world cannot count on or refer to the presence of any transcendental center or foundation, since the world has become too big and thus too complicated, its totality "is bound to be a fragile or merely longed-for one" (60). As a result, the novel is the form of "transcendental homelessness," a form caught between the urge to produce and the impossibility of producing the world as a meaningful and whole thing (61). Lukács then goes on in discussions of Miguel de Cervantes, Honoré de Balzac, Johann Wolfgang von Goethe, Gustave Flaubert, and others to account for the ways in which the novel approaches its compensatory, second-order totalities at the level of technique, including, for example, the novel's management of character, description, and time.

While Lukács's historical account of the novel's appearance might seem overly schematic, his distinction between epic and novel exerts tremendous influence over subsequent novel theory. In the 1930s, the Russian literary critic Mikhail BAKHTIN reworked Lukács's temporal distinction into a strategic, political, and structural opposition between the official, "monologic" form of epic and the subversive and even anarchic "dialogic" form of the novel. What produced the melancholy of homelessness in Lukács becomes for Bakhtin a salutary opportunity for linguistic and social resistance. Walter Benjamin (1892–1940), the MARXIST literary and cultural critic, argues in "The Storyteller" (*Illuminations*, ed. H. Arendt, 1936) that the novel's rise coincides with a developing print culture and the consequent decline of epic modes of storytelling. What characterizes the novel is its response to the increasingly bewildering experience of modern life: "To write a novel means to carry the incommensurable to extremes in the representation of human life. In the midst of life's fullness, and through the representation of this fullness, the novel gives evidence of the profound perplexity of the living" (87).

In *Deceit, Desire, and the Novel* (1961), critic and philosopher René Girard sees the novel as structured by what he calls "mimetic desire," the shared desire that two or more characters have for the same object. Where earlier forms organized their quests around divine, otherworldly, or magical objects, which he calls "external," the modern novel is characterized by the everyday, ordinary, "internal" quality of its objects of desire. Once the space between desire and everyday life collapses, values become contingent, enigmatic, and changeable. More recently, we can see the influence of both Lukács and Weber in Franco Moretti's *The Way of the World* (1987), which argues that

the novel, and especially the *BILDUNGSROMAN*, represents an attempt to recapture the effect of totality in the modern world through the narrative assimilation of the solitary individual into his or her society. The novel's usual plots, which include familiar moves toward knowledge, marriage, and death, are a response to a world that is wide but not whole.

THE RISE OF THE NOVEL

If Lukács's opposition between epic and novel can seem overly stark, Ian Watt's *The Rise of the Novel* offers a more fully developed but nonetheless related description of the specific conditions that led to the rise of the novel in eighteenth-century England. Just as Lukács draws on Weber's sense of a disenchanting world in order to account for the novel's historical appearance and aesthetic function, so too does Watt understand the rise of the European novel as coincident with certain fundamental aspects of modern life, including increased "economic specialization" under capitalism, the new centrality of the city to national life, and the appearance of "an ideology primarily based, not on the tradition of the past, but on the autonomy of the individual" (61, 60). As the middle classes escaped from the crush and din of cities into newly developing suburbs, a complex notion of privacy emerged. First, a desire for privacy arose as a reaction to the alienating complexity of urban life. Second, it became a value represented by new kinds of architectural, domestic, and often feminized spaces such as the home and the boudoir. Third, privacy emerged as the newly self-conscious experience of a personal, interior, and essentially private psychic life. It is in response to the appearance of this new set of values, particularly social privacy, gendered domesticity, and psychological interiority, that the novel rises to cultural prominence

as the aesthetic form best able to represent those values. As a result, the individual consciousness, the persistence of character over time, and an attention to the specificity and texture of everyday life become important aspects of what Watt identifies as the novel's ultimate generic achievement: formal *REALISM*.

Certain strands of novel theory have followed, while also revising and complicating, Watt's compelling but arguably reductive story of the novel's development from Daniel Defoe, Henry Fielding, and Samuel Richardson through Jane Austen, Henry James, and others. In *Desire and Domestic Fiction*, Nancy Armstrong retells the novel's story in order to foreground the productive centrality of women who both wrote novels and were, as its heroines, the novel's most regular subject. Armstrong draws on the work of French philosopher Michel Foucault in order to argue that a gendered culture of the novel both represented and, in fact, helped to produce the modern subject as a gendered subject: "the modern individual was first and foremost a woman" (8).

In *The Novel and the Police*, D. A. Miller makes an argument about the relation between the form of the novel, whose moment of greatest cultural authority he locates in the Victorian novel, and the development of the modern subject. Also invoking Foucault, Miller argues that the novel, so often seen as a playful and potentially subversive escape from the seriousness of the social, is in fact a form that not only participates in the invention of liberal individuality but also actively disciplines its readers into good subjects: "the point of the [novel], relentlessly and often literally brought home as much in the novel's characteristic forms and conditions of reception as in its themes, is to confirm the novel-reader in his identity as 'liberal subject'" (x).

In another attempt to revise Watt, Michael McKeon complicates the history of the

novel and its contexts in *The Origins of the English Novel, 1600–1740*. Rather than seeing the novel's rise as the unbroken movement toward the end point of Watt's formal realism, McKeon argues that the novel is, instead, a dialectical form that derives its character from the embodied tension between the residual excesses of ROMANCE and an emergent formal realism: "one central problem that Watt's unusually persuasive argument has helped to uncover is that of the persistence of romance, both within the novel and concurrently with its rise. And behind this lurks a yet more fundamental problem, the inadequacy of our theoretical distinction between 'novel' and 'romance'"(3).

ASPECTS OF THE NOVEL

If novel theory is interested both in what the novel is and in when it appeared, it is also interested in the way particular aspects of its form are suited to the work of representing its world. There have been many efforts to account for the novel as an analyzable formal system. We could look to the novel theory contained in and inspired by Henry James's essays and his prefaces to the 24-vol. New York Edition of his novels (1907–9), in which James works to pinpoint the right relation of character to plot, realism to romance, and showing to telling (1934, *Art of the Novel*). In *Aspects of the Novel* (1927), E. M. Forster addresses novel basics such as "story," "people," and "plot." He also coins the familiar distinction between flat characters, which "are constructed round a single idea or quality," and round characters, which have "more than one factor in them" (67). Arguing against the Jamesian emphasis on showing over telling, Wayne Booth shows in *The Rhetoric of Fiction* that the novel is in the first place a communicative act, an act of telling, dependent on relations between a

number of sending and receiving positions present in every narrative, including the implied author, implied reader, and the narrator.

We should turn finally to a distinction that has been central to the analysis of the novel and that can once again be understood in relation to Weber's thesis: the distinction between story and discourse (see STORY). If the term *story* names the "what" of a narrative or novel (i.e., the events that are to be represented), then *discourse* names the "how," or the order, point of view, and pace in which those events are presented. Early twentieth-century Russian Formalists, including Viktor Shklovsky, Boris Eichenbaum, and Vladimir Propp, first introduced the distinction between *story*, or *fabula*, and *discourse*, or *sjuzhet* (see FORMALISM). It has proven to be a powerful way into the novel as a system. A number of structuralist and narratologist theorists of the novel have since adopted the terms *story* and *discourse* (see STRUCTURALISM; NARRATIVE).

In *Narrative Discourse*, Gérard Genette builds on these concepts in order to offer a general theory of narrative. He argues that "analysis of narrative discourse . . . constantly implies a study of relationships: on the one hand the relationship between a discourse and the events that it recounts . . . on the other hand the relationship between the same discourse and the act that produces it" (26–27). Genette breaks down the analysis of the novel into questions of tense, mood, and voice in order to show that it is the necessary difference between story and discourse that makes the novel so generative a form. And Roland Barthes's *S/Z* builds on an exhaustive analysis of Balzac's "Sarrasine" (1830) in order to account for the plural nature of all novelistic discourse. He demonstrates that to read a novel is to apply pressure to the ways in which it only appears as a natural, singular, finished totality: "the work of commentary, once it

is separated from any ideology of totality, consist precisely in *manhandling* the text" (15).

In these works and others, it is the distance between discourse and story, between a representation of a world and the world itself, that leads to the restlessly original force of the novel. That distance is also the way in which the melancholy that Lukács associates with the novel finds its best formal expression. Story, the ultimate meaning of things, is always available to us only through its second-order representation in discourse. Always marking that distance, the relation between story and discourse is the novel's melancholy.

THE NOVEL IN THE TWENTY-FIRST CENTURY

It is clear that much novel theory in the twentieth century focuses on a relatively restricted canon of European novels, particularly those by authors such as Goethe, Balzac, Stendhal, Austen, and Leo Tolstoy. However, as novel theory moves into the twenty-first century, critics are looking beyond its usual temporal and geographic borders. What will happen to novel theory as our understanding of the novel as a historical and a national phenomenon shifts

and expands? In what way has the possibility of a world literature exposed limits to novel theory? These questions and others must at last remain subjects for other entries.

SEE ALSO: Genre Theory, History of the Novel, Modernism, National Literature, Novel Theory (19th Century); Religion.

BIBLIOGRAPHY

- Armstrong, N. (1987), *Desire and Domestic Fiction*.
 Bakhtin, M. (1981), *Dialogic Imagination*.
 Barthes, R. (1974), *S/Z*, trans. R. Miller.
 Booth, W.C. (1983), *Rhetoric of Fiction*, 2nd ed.
 Genette, G. (1980), *Narrative Discourse*.
 Lukács, G. (1971), *Theory of the Novel*.
 McKeon, M. (1987), *Origins of the English Novel*.
 Miller, D.A. (1988), *Novel and the Police*.
 Morretti, F. (1987), *Way of the World*.
 Shklovsky, V. (1990), *Theory of Prose*.
 Watt, I. (1957), *Rise of the Novel*.

Novel, Definitions of the *see* Definitions of the Novel.

Novel, History of the *see* History of the Novel

Novela de la tierra *see* Latina/o American Novel; Regional Novel

Novella *see* Definitions of the Novel

P

Paper and Print Technology

SYDNEY J. SHEP

Although the novel is often considered a Western genre, South and East Asian literature was populated by many comparable antecedents in print, be they HISTORICAL romances, fictional narratives, extended short stories, or hybrid literary forms. In China, the rise of vernacular fiction from the fourteenth century paved the way for *Hung-lou-meng* (1791, *Dream of the Red Chamber*), attributed to Cao Xueqin. This DOMESTIC novel, with its enormous cast of characters and detailed observation of mid-eighteenth-century court life, loves, and society, is considered one of China's four great classical novels, along with *Shuihu zhuan* (1614, *The Water Margin*) and *San-guo yanyi* (1552, *Romance of the Three Kingdoms*), by Luo Guanzhong, and *Xiyou-ji* (1592, *Journey to the West*), by Wu Cheng'en. It circulated privately in scribal form—a common practice—until 1791, when it was first printed using movable type.

Once the Chinese *kanji* script arrived in Japan and was naturalized, written literary production gained momentum. The classical novel of the early eleventh century, also considered the first modern novel, was Murasaki Shikibu's work *Genji Monogatari* (ca. 1010, *The Tale of Genji*), which competed for literary shelf space with *Makura no Sōshi*

(ca. 1000, *The Pillow Book*), also by a court authoress, Sei Shōnagon. By the Edo period (1603–1867), the importation of Chinese vernacular fiction influenced the work of Ihara Saikaku, whose racy novels of the 1680s set in the brothels, teahouses, and theaters of Tokyo's red-light district were complemented by *ukiyo-e* (floating world) woodblock prints (see fig. 1). The reopening of Japan to the West during the Meiji period (1868–1912) resulted in rapid and significant exposure to European literary practices and markets. During a relatively short period of time, Japanese writers began to write fluently and concurrently in prose styles of the Enlightenment, Romanticism, NATURALISM, and REALISM. A similar pattern occurred in China with the efflorescence of the modern novel during the late Qing dynasty (1895–1911). Novels were translated and exported to the West; writers such as Yasunari Kawabata and, later, Kazuo Ishiguro and Gao Xingjian, won prestigious international awards. The impact of the Cultural Revolution (1966–76) in China and the subsequent centralized control of print and digital media resulted in a thriving underground and domestic publishing industry and a surge in both novel writing and reading. Postwar Japan witnessed the development of the internationally significant GRAPHIC NOVEL genres, *manga* and *anime*.

Until and even after contact with the technological apparatus of the West, the

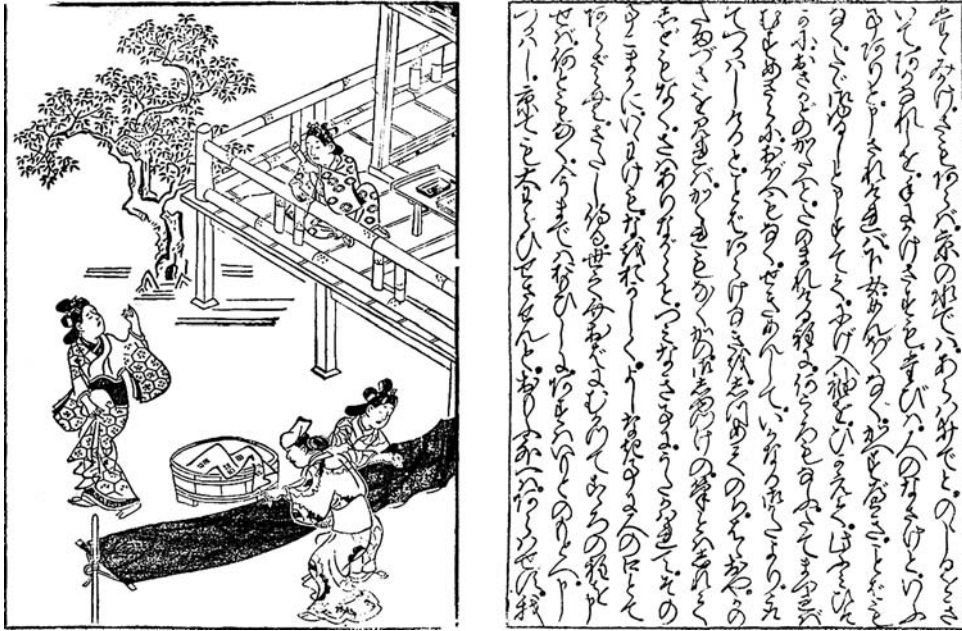


Figure 1 Ihara Saikaku, *Koshoku ichidai otoko* (1684, *The Life of an Amorous Man*), 8 vols., illus. Hishikawa Moronobu. The National Diet Library, WA9-10. Used with permission

production of Asian literature was a self-sufficient economy based on manuscript copying and book-block or xylographic printing and fed by centuries of papermaking expertise. The simplicity of equipment and materials fostered an almost unlimited capacity for cheap REPRINTS and the ease of rebinding the softback, multivolume works extended their life in harsh tropical environments. The shape, size, and paperback form also engendered different reading habits as well as the construction of different reading spaces for the consumption of fiction. The complexities of Indic, Arabic, and East Asian scripts have always proved problematic for moveable type (see TYPOGRAPHY). The enormous number of characters required and the need for diacritical marks, combined with capital investment and production exigencies, often paled by comparison with the commercial efficiencies of the traditional manuscript and book-block economies. Western mission-

aries prioritized the printing of religious and educational works in the vernacular, and advocated for the production of printing types. Many secular works were printed with these types, although the popular print of nineteenth-century India, for example, frequently resorted to chromolithography to overcome the limitations of moveable type. Even the famous Bengali poet, novelist, musician, artist, and social reformer, Rabindranath Tagore, privileged the manuscript as the embodiment of spiritual and literary worth, and retained an ambivalent relationship to letterpress printing all his life.

The development of the novel in the West coincided with and was facilitated by profound changes in the technologies of book production. The industrialization of papermaking and printing processes in the late eighteenth and early nineteenth centuries, coupled with the advent of new readers, new markets, changed legislative frameworks,

and faster transport systems, paved the way for the efflorescence of the genre. The second phase of industrialization in the late nineteenth and early twentieth centuries broadened the global reach of this print form. Finally, the advent of digital technologies has thrust the novel into the domain of hypertext and multimedia, reshaping both its creators and readers.

MAKING PAPER BY HAND

Before the invention of the Fourdrinier papermaking machine and rotary machine presses, the novel was a luxury item manufactured in small editions for limited audiences, and priced well beyond a worker's average weekly wage. Whether available in one or two volumes, or the classic three-decker or three-volume form, its paper was handmade in single sheets, the type composed by hand from foundry type, the text printed on a two-pull wooden platen or single-pull iron handpress, and the final work bound by hand. These craft technologies and the traditions and institutional structures that surrounded them shaped the look, feel, and market for early novels. Daniel Defoe's *Robinson Crusoe*, for example, first appeared in octavo format in 1719. The paper was rag-based, produced in laid sheets made by an English mill, and taxed per ream at the source. The physical traces of the mold and deckle appeared in the watermark and any uncut edges; the papermaker's characteristic "shake" could be detected in the variable thickness of the sheet. The text was composed letter-by-letter and space-by-space from upper and lower typesets by several compositors in W. Taylor's printshop at the Sign of the Ship in Paternoster Row, London, who deciphered and interpreted the manuscript hand, and worked with the pressman to pull galley proofs. Once corrected, the pages were imposed, locked

up, and printed on the handpress, where they were worked off by the pressman and beater at a rate of 250 sheets per hour. The presswork alone for an edition of one thousand copies could take anywhere from two to three months to be completed on two presses working continuously. If sold folded rather than flat, the printed sheets were gathered and sewn into flimsy, paper-covered boards with a paste-on label—a temporary solution—awaiting the purchaser to commission his or her own bespoke binding. The finished article, with its leather, blind or gold tooling, edge-gilding, and armorial bookplate, would be read with paper knife in hand in a comfortable armchair near a sunny window or by a candle, and finally reside in a private library of considerable prestige and conspicuous value.

MECHANIZED PAPERMAKING

The demands of an increasingly literate reading public meant that popular forms of print such as newspapers and the periodical press were at the forefront of technological change. A prototype papermaking machine was brought to England by its inventor, Nicolas-Louis Robert (1761–1828), and was patented in 1801. After some modifications by Bryan Donkin (1768–1855), a viable machine was installed at the Frogmore Mill (Hertfordshire) in 1804. Using a continuous web of woven wire, this Fourdrinier machine, named after the papermaking brothers who invested in the project, was connected at one end to a vat of continuously agitated furnish distributed onto the web, and at the other end, to a series of rollers for draining, pressing, and drying. By 1807, more paper could be produced in a day from this endless web than was possible in a one-vat hand paper mill. However, demand soon outstripped supply as linen rags required for the best quality papers were in short supply

and alternative fibers suitable for mechanical production, particularly straw and esparto grass, became the focus of attention. Although wood-based papers would not be commercially produced until the end of the nineteenth century, the experimental work of Matthias Koop in 1800 laid the foundation for the second phase of paper industrialization. Cheap newsprint and paperback novels could not have been realized without the emergence of wood pulp, which guaranteed papers at once regular, reliable, and anonymous.

PRINTING INNOVATIONS

As paper production was being mechanized, so too was printing. Throughout the later eighteenth century, numerous attempts were made to retrofit existing wooden platen presses to operate with greater efficiency and ease. Charles Stanhope (1753–1816) worked with his engineers on a cast-iron handpress, hoping to increase the size of sheet which could be printed in one pull as well as the impression strength, evenness, and quality. The Stanhope Press went into production in 1800, followed quickly on both sides of the Atlantic by the Columbian and Albion, among others. However, these machines were expensive and still relied upon single sheets to be hand-fed and hand-pulled; they did not increase the speed of printing sufficiently to change the industrial landscape. Around 1810, a German émigré based in London, Friedrich Koenig, experimented with a steam-driven platen press and automatic inking mechanism. Soon he shifted his energies to the cylinder or rolling press more commonly used by copperplate engravers. In late 1814, *The Times* of London, which underwrote Koenig's invention, printed off 1,100 sheets per hour and announced a new era in newspaper production. Improvements thereafter resulted in the Applegarth

vertical rotary printing machine with multiple feed stations and a fourfold increase in production. By 1850, *The Times* achieved a remarkable twelve thousand impressions per hour, increasing this figure to twenty thousand per hour eight years later using a ten-feeder horizontal rotary press developed by R. Hoe & Co. of New York. When paper duty was finally abolished in 1861, web-fed presses that printed on both sides of a continuous reel of paper were one of the crowning achievements of industrialization.

The irony attendant upon the invention of the power presses was that they remained predominantly the domain of the large newspaper corporations, unaffordable to the small printer with his limited capital, short print runs, and diverse product lines. Although some larger printing houses such as William Clowes Ltd. adopted steam presses in the 1830s, book printing was still primarily the province of the handpress up until mid-century, when the Wharfedale (1856) was introduced. However, the new power presses enabled publishers to rethink their production strategies, develop new advertising and distribution networks, and create new business models. Furthermore, the development of mechanical type-casting in America in 1838 made type more affordable and available for large projects. Refinements to the stereotyping process provided a welcome solution to the biggest hurdle in print production: typesetting. Until the invention of hot metal machines for composition setting such as the Linotype (1885; see fig 2) and the Monotype (1896), stereotypes enabled text to be handset once in metal, a mold made from plaster of Paris (1784), or later, papier-mâché or flong (1828–29), and any number of flat or curved plates cast on demand. Type was no longer redistributed, thus requiring a complete resetting for a new edition, or left standing awaiting the risky speculation of a future printing. Flongs could be stored indefinitely, brought out for casting when

required, and did not tie up precious capital. Consequently, the single largest expenditure apart from paper was soon reduced, placing the notion of production inextricably linked to volatile consumer demand within easy reach of the printer. Furthermore, the portability of the lightweight flog molds resulted in texts circulating the globe through stereo exchange and lending networks, feeding the market for REPRINTS sustained by, amongst others, Harpers in New York, the Galignani Brothers in Paris, and Tauchnitz in Germany.

CONSEQUENCES FOR THE NOVEL

Novels were the beneficiaries of these new technical developments driven by the newspaper and periodical press. Given the increasing speed and scale of production, plus opportunities for repurposing content as publishers moved to capture market share through SERIALIZATION, part publication, and other commercial strategies, novels evolved into an exemplar of commodity culture. The works of Harriet Beecher Stowe, Alexandre Dumas, and Charles Dickens, for instance, gained greater international market penetration through serialization, dramatization, TRANSLATION, and merchandise tie-ins. The production of editions suited to specific markets and new spaces of reading was also made possible by the industrialization of print. Lending LIBRARIES such as Mudie's (founded 1842) were both a driver sustaining artificially high pricing of the three-volume novel and a captive market for editions of the most recent popular novels. They also provided the impetus for the development of publishers' cloth, and case or library bindings to ensure maximum durability and longevity.

The railway and the concomitant development of commuter reading spawned the railway bookstall, and their owner-publish-

ers, such as W. H. Smith in London (1848) or Louis Hachette in Paris (1853), controlled supply and drove demand. The railway novel or "yellowback" with its distinctive mustard-plaster, soft-cover binding was introduced in 1855, paving the way for the mass-produced paperbacks of the 1870s that led, in turn, to the Penguin publishing phenomenon established in 1935. The paperback format enabled the publisher Philipp Reclam in Leipzig, for example, to manufacture user-pay, coin-operated book dispensers to supply cheap, standard editions for readers in railway stations, hospitals, spas, and on board ships, thus bypassing the bookshop entirely and heralding a new kind of book-on-demand economy. The colonial edition enabled a hungry novel-reading public around the world to partake of the latest fiction at discount prices, in a climate of competitive wholesaling and asymmetrical COPYRIGHT legislation, which controlled novelists, printers, publishers, booksellers, and their markets. In all of these examples, the economics of print and of publishers' design decisions affected availability and price; the gradual miniaturization, portability, and standardization of novels were linked to a reduction of price achieved through mechanized production methods, larger print runs, low production costs, and volume sales.

By the turn of the twentieth century, the industrialization of photography and lithography provided new opportunities for technological advancement in the printing industry. The offset press, developed by Ira Washington Rubel in 1903 and mass produced by the Harris Automatic Press Co. of Cleveland, Ohio, adapted lithographic principles and adopted various improvements in ink, paper, and plate manufacture for high-volume commercial printing. Since the 1950s, it has remained the printing press of choice for quality book printing and reprographics, facilitated by direct

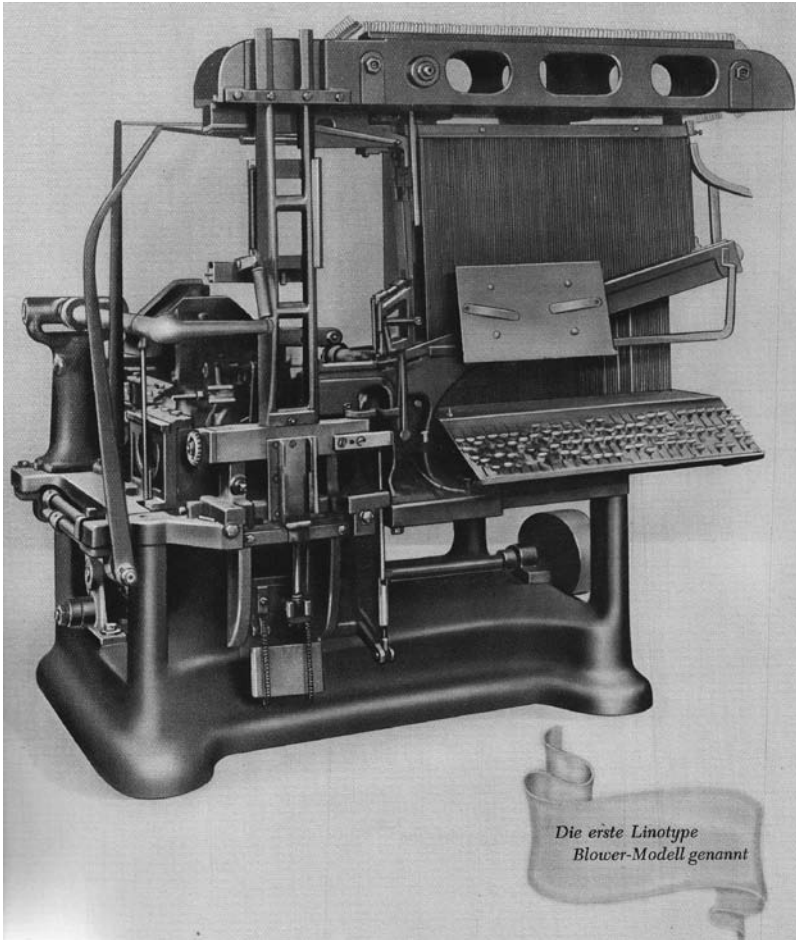


Figure 2 Linotype Blower, 1886. The world's first linecasting machine, the Blower was produced by Ottmar Mergenthaler (1854–99) in the U.S. The machine was later renamed “Linotype” (short for “Line of type”). Image courtesy of Linotype GmbH

computer-to-plate technology. Digital presses cannot yet compete with offset presses in terms of scale or quality, but are quickly narrowing the gap. Phototypesetting or cold type, first introduced in the 1940s, replaced hot metal by the 1970s and, in turn, was rendered obsolete by digital type. The development of the personal computer, the font menu, and software programs for design, illustration, and desktop or on-line publishing has put the control of production and dissemination firmly within reach of the author.

Just as early novels such as Laurence Sterne's *Tristram Shandy* (1759–67), with its marbled or black pages, or Samuel Richardson's *Clarissa* (1748),¹ with its psychological typography, constitute a metanarrative of book production, so too do contemporary e-novels play with the bits and bytes of their material form. While hypertext fiction and cyber-novels do not rely on print and paper, they employ many comparable readerly strategies and paratextual cues to fashion a cyberworld where the reader is now a fully immersive, multimedia participant, if not

equal partner, a multimodal writer. At the same time as the e-book and internet permeate our culture, the book object remains an important constituent element. Printed novels in octavo format with pseudo-deckle or uncut edges join expensive hardbacks with faux embossing and tooling. Reading clubs abound, airport bookshops market prizewinning novels in multiple languages and filmic covers, and lending libraries purvey the latest bestsellers. Novels are repurposed into films, graphic novels, stage plays, musicals, and computer games. The markers of the chronological development of the novel can now be seen existing simultaneously in the contemporary world.

SEE ALSO: Adaptation/Appropriation, Authorship, Editing, Illustrated Novel, Publishing, Reviewing.

BIBLIOGRAPHY

- Clapperton, R.H. (1967), *Papermaking Machine*.
 Dagnall, H. (1998), *Taxation of Paper in Great Britain 1643–1861*.
 Eliot, S. and J. Rose, eds. (2007), *Companion to the History of the Book*.
 Fraser, R. (2008), *Book History through Postcolonial Eyes*.
 Gaskell, P. (1995), *New Introduction to Bibliography*.
 Hills, R.L. (1988), *Papermaking in Britain*.
 Kornicki, P. (2001), *Book in Japan*.
 Rummonds, R.-G. (1997), *Printing on the Iron Handpress*.
 St. Clair, W. (2004), *Reading Nation*.
 Watt, I. (1957), *Rise of the Novel*.

Paratext see Frame

Parody/Satire

FRANK PALMERI

Satiric narratives have been crucial for the development of novelistic forms in the

West; Miguel de Cervantes Saavedra's *Don Quixote* (1605, 1615) provides the paradigmatic instance of this relation between satire and novel. Nevertheless, satire stands in a vexed relation to novelistic forms. They may be closely related, but there is a general consensus that satires such as Jonathan Swift's *Gulliver's Travels* (1726) differ from novels in their typical plot, treatment of character, and mode of representation: generally, the interior life of characters in satires is not available as it is in most novels; satires also tend to conclude inconclusively, without a change in the condition of the world that led to their composition (Kernan); finally, satires do not provide the same level of verisimilitude in the detailed depiction of objects (but may employ long and wildly heterogeneous lists instead). Although these distinctions may seem well established, they would not be accepted by Mikhail BAKHTIN, one of the foremost theorists of novelistic forms, whose extremely expansive understanding of novels encompasses almost any long fictional narrative (except epic), including ancient Greek romances, thousand-page-long seventeenth-century French romances, and satires such as François Rabelais's *Gargantua and Pantagruel* (1532–52), as well as eighteenth-, nineteenth-, and twentieth-century novels of contemporary life, bildungsromane, and historical novels. Bakhtin considers the romances and psychologically realistic narratives to belong to one line or tradition of the novel and parodic satires to be characteristic of a second line. Individual fictional narratives can be placed along a spectrum on which the two types approach each other: William Makepeace Thackeray's *Vanity Fair* (1848) is a novel with strong and sustained satiric implications, while Gustave Flaubert's *Bouvard et Pécuchet* (1881) is a satiric narrative with some novelistic features.

PARODIC SATIRE AND NOVELISTIC FORMS

This strong relation between satire and novels results from the crucial role that parody plays in satiric narrative. It would be more accurate to speak of parodic satire, rather than pure satire, at work in many or even most satiric narratives, because the capacities of narrative representation complicate the kind of unidirectional attack on a single object that is characteristic of poetic satire. Parody introduces ironic distance between an implied meaning and the overt statements of a narrative voice, or of any characters who participate in a dialogue or dramatic situation, and the irony may move in various directions in different chapters or parts of a long narrative. Parodic usage does not employ conventions straightforwardly, but aslant, with a difference. Without an overt statement of position having been made, the distance emerges between the previous form or position and the parodic implication, which usually carries a critical and satiric charge. Thus, in *Don Quixote*, the actions and speeches of the impoverished knight who takes literally the values and conventions of romances of adventure that had been popular for several centuries reveal the gap between the world of those conventions and the early modern world in which he expects to find them. Moreover, if the strategy of the first chapters of pt. 1 is to show the inadequacy of the conventions of the older literary and social form, successive chapters critique the modern by comparison with the ideals of another time, without offering the possibility of return to such a past. Finally, after numerous episodes, intrusions of other genres, a shift to a metanarrative level in pt. 2, and the multiplying of ironies almost beyond reckoning, *Don Quixote* concludes as the knight emerges from his delusion only soon thereafter to die: the narrative moves beyond satire toward novelistic form (see METAFICTION).

Perhaps even more insistently than the first part of *Don Quixote*, the *Satyricon*, written by Petronius (ca. 60 CE, in the reign of Nero), was probably composed almost entirely of parodies interwoven with parodies. On the evidence of the hundred-page fragment that survives (perhaps one-eighth of the original), Petronius parodically satirizes declamatory rhetoric, and especially the conventions of epic poetry. The curse of Priapus that afflicts the narrator, Encolpius, parodies the curse of Poseidon that prevents Odysseus's successful homecoming. In addition, satire of the outrageous nouveau-riche dinner host Trimalchio turns against those who consider themselves superior to him, Encolpius, and his crowd of hollow con-men, leaving readers without a position to occupy (Palmeri, 2003). Although Petronius's narrative did not lead to a tradition of novelistic forms in antiquity, it does demonstrate that novels could be constituted by adopting a thoroughly irreverent and leveling relation to epic, as well as other high, serious forms.

Like the *Satyricon*, Rabelais's *Gargantua* and Swift's *Gulliver's Travels* open up new ways of thinking through the use of parodic satire, and both stand in a close relation to later novelistic forms. Through his folkloric giants, Rabelais mocks the narrow learning of the medieval scholastics and celebrates a new world of thought to be explored through the rebirth of the classical languages and literatures; but he also undercuts the self-importance of the high Renaissance through his praise of drink and exuberant celebration of the functions and products of the body. Rabelais's encyclopedic learning, combined with his earthiness, opened up wide prospects for European novelistic prose. *Gulliver's Travels* parodies and satirizes travel narratives, but does not authorize a return to a classical Stoic ethics, such as might have been embodied by

the Houyhnhnms and their passionless reason. Swift's satire of narratives such as Daniel Defoe's *Robinson Crusoe* (1719–22) also implies a critique of the emerging culturally dominant constellation of empiricism, capital growth, and colonialism (McKeon), and prepares the way for such eighteenth-century comic novels as Henry Fielding's *Joseph Andrews* (1742) and *Tom Jones* (1749), Tobias Smollett's *Roderick Random* (1748) and *Humphry Clinker* (1771), Laurence Sterne's *Tristram Shandy* (1759–67), and Denis Diderot's *Jacques le fataliste et son maître* (1796, *Jacques the Fatalist and His Master*) (Paulson).

Jane Austen's *Northanger Abbey* (1818) satirizes the gothic novel, associated with women readers, but like Rabelais and Swift she also points to the limitations of a presumed alternative, in this case the male-dominated genre of historical narrative. Distinguishing her narrative from GOTHIC and from history, she clears a space for a form that can accurately represent modern social and individual experience: the comic novel of contemporary manners, the form that Austen explores and makes her own in her later works (see COMEDY). Thus, in all these instances, the satiric parody of literary, cultural, and/or social forms clears the way for new forms of thought and literary practice, even if a clear novelistic tradition does not proceed directly from the narrative satire.

Although the satiric critique of established institutions often carries progressive political implications, the form may also express a more conservative ideology. Austen, for example, is moderately conservative in her implied attitude toward property, the social hierarchy, and marriage, although she also contests many reigning pieties concerning gender. Among other satiric novels by women from the same period, Elizabeth Hamilton's *Memoirs of Modern Philosophers* (1800) adopts a more hard-edged conser-

vative position than does Austen, while Elizabeth Inchbald's *Nature and Art* (1796) implies a radical and ironic critique of most English social institutions.

NONPARODIC SATIRE

Characteristic of conservative satires, Hamilton's *Modern Philosophers* almost entirely lacks a parodic or ironic dimension: non-parodic satires generally tend to be more unidirectional and less interested in opening up new possibilities in form and thought. However, as Bakhtin observes, by the nineteenth century in Europe and North America, the more psychological line of the novel and the more satiric line became less distinct, as many novels included elements of each, and as irony broke off from and often replaced satire and parody. Austen's later novels illustrate this point: they are not parodic or strongly satiric, yet a knowing irony attends characters, plot, and dialogue, and the narrator's formulations raise questions about some accepted opinions and established hierarchies.

Vanity Fair is a late example of a strongly accented satiric novel in England and France, where, for almost the next half-century, satire played only an episodic and subordinate role in European novels. The late novels of Charles Dickens, for example, usually contain some recurring objects of satire, but even where the satire is strongest, as in *Bleak House* (1853) and *Little Dorrit* (1858), it remains episodic, subordinated to novelistic concerns such as the revelation of characters' identities and relations, and the final disposition of protagonists in marriage. Similarly, Anthony Trollope's novels, such as *The Eustace Diamonds* (1873) and *The Way We Live Now* (1875), often satirize elements of contemporary social life, raising questions about the condition of women, the conditions of publishing, the established

Church, and the stock market; still, however liberal and fair-minded such questions might be, the novels do not seriously undermine conventional proprieties and hierarchies of value in mid-Victorian England. Thus, if in some major periods and instances, satire can serve a generative function for novelistic forms, in other circumstances, satire serves only as a subordinate and accompanying element of an established novelistic form.

Victorian novels did not break out of this bind, this marginalizing inclusion of satire, until the 1890s, but Samuel Butler's *Erewhon* (1871) provides an anticipatory, early instance of one direction satire would later take in its satiric representation of a utopian society. Here, the strange country the narrator discovers seems at first to have utopian possibilities, although its laws and values soon prove to be based on what seem to be bizarre inversions of common sense and rationality: sick people are treated as criminals, while those who have violated laws are sentenced to medical treatment. It turns out that this culture in fact bears a strong resemblance to the culture of England. Finally, having realized the illogicality and bankruptcy of all the major institutions of Erewhonian and English society, the narrator implies that there is nothing to be done but to conform, observing the customs of the country and the code of a gentleman.

Butler's work and others, such as Flaubert's *Bouvard et Pécuchet*, anticipate the return of satiric narrative to prominence in the twentieth century; in fact, there has been an explosion of satiric fictions and forms since the turn of the twentieth century in modernist, postmodern, and postcolonial varieties, in speculative fiction, and in various subgenres. A series of dystopian novels has registered satiric critiques both of communist and of capitalist utopian visions (see SCIENCE FICTION). Works in this

strain include some novels that had a great impact on twentieth-century fiction and culture: Evgeny Zamyatin's *My* (wr. 1920–21; pub. U.S. 1924, *We*), Aldous Huxley's *Brave New World* (1932), George Orwell's *1984* (1949), Ursula Le Guin's *The Dispossessed* (1974), and Margaret Atwood's *The Handmaid's Tale* (1985). The first half of the twentieth century also saw a large number of satiric novels make use of animals to communicate their satiric vision. Among such works can be numbered Natsume Sōseki's *Wagahai wa Neko dearu* (1906, *I Am a Cat*), Anatole France's *L'Île des Pingouins* (1908, *Penguin Island*), Mikhail Bulgakov's *Sobach'e serdtse* (wr. 1925; pub. U.K. 1968, *Heart of a Dog*), Lao She's *Mao Ch'eng Chi* (1932, *Cat Country*), Karel Čapek's *Válka s mloky* (1936, *War with the Newts*), and Orwell's *Animal Farm* (1945). Expanding the ancient form of the animal fable to novelistic length, these works disguise their satiric critique in order to evade censorship or attack. The allegorical nature of such works, in which the animals' behavior resembles that of humans, aligns them with satiric allegory, another longstanding combination of forms, which can be allied with a religious vision, as in both Apuleius's *The Golden Ass* (second century CE) and Wu Cheng-en's *Xiyou ji* (1592, *Journey to the West*).

POSTCOLONIAL AND POSTMODERN SATIRIC NOVELS

Not only can long narrative satires prepare the ground for novelistic forms, but also novellas and short stories: Nikolai Gogol's tales, especially "The Nose" (1836) and "The Overcoat" (1841), prepared the way for Fyodor Dostoyevsky's novels by focusing satirically on characters who experience extreme states of deprivation and debasement. Gogol's "Diary of a Madman" (1834) also

provided a model for Lu Xun, whose own “A Madman’s Diary” (1918), *A-Q zhengzhuan* (1921, *The True Story of Ah Q*), and other narratives represent twentieth-century China as a society whose people have become so morally and psychologically degraded that it is barely possible to retain both one’s decency and one’s sanity among them. Similarly, the tales of Jorge Luis Borges, such as those in *Ficciones* (1944, *Fictions*), opened the way for novels of MAGICAL REALISM—notably Gabriel García Márquez’s *Cien Años de Soledad* (1967, *One Hundred Years of Solitude*), but also the Boom in Latin American fiction in the 1960s and 1970s. Borges’s melding of fictional and nonfictional elements, fantasy and essay, utopia and history, proved well suited to expressing the sometimes phantasmagoric history and reality of previously colonized societies, as can be seen also in works such as Salman Rushdie’s *Midnight’s Children* (1981). Rushdie’s novel not only provides a history of India in the twentieth century through its allegorical and fantastic protagonist, the son of an English father and a poor Hindu mother raised in a well-to-do Muslim family; it also parodies famous English novels as it demonstrates the fantastic nature of history. In this latter effort at historical representation often outside the constraints of realism, Rushdie is joined by many authors of satiric historical novels in the last half-century, among them E. L. Doctorow, John Barth, and Günter Grass. The satiric novels of Thomas Pynchon—*V.* (1963), *Gravity’s Rainbow* (1973), *Mason & Dixon* (1998), and *Against the Day* (2006)—all of them constructed almost entirely of parodies, perhaps most clearly demonstrate the possibilities for increased cultural self-understanding opened up by the satiric historical novel, a distinctive postmodern genre. The conjunction of parody and satire in fiction is still generating new and important novelistic forms.

BIBLIOGRAPHY

- Bakhtin, M.M. (1981), *Dialogic Imagination*, trans. C. Emerson and M. Holquist.
 Elliott, R.C. (1960), *Power of Satire*.
 Frye, N. (1957), *Anatomy of Criticism*.
 Guilhamet, L. (1988), *Satire and the Transformation of Genre*.
 Hutcheon, L. (1985), *Theory of Parody*.
 Hutcheon, L. (1988), *Poetics of Postmodernism*.
 Kernan, A. (1965), *Plot of Satire*.
 McKeon, M. (1987), *Origins of the English Novel*.
 Palmeri, F. (1990), *Satire in Narrative*.
 Palmeri, F. (2003), *Satire, History, Novel*.
 Paulson, R. (1967), *Satire and the Novel in Eighteenth-Century England*.

Performativity *see* Speech Act Theory

Periodicals *see* Serialization

Perlocution *see* Speech Act Theory

Philosophical Novel

DAVID CUNNINGHAM

The philosophical novel can be minimally defined as a GENRE in which characteristic elements of the novel are used as a vehicle for the exploration of philosophical questions and concepts. In its “purest” form, it perhaps most properly designates those relatively singular texts which may be said to belong to both the history of PHILOSOPHY and of literature, and to occupy some indeterminate space between them. Today the term is often used interchangeably with the more recent concept of the “novel of ideas,” though some theorists have sought to establish a clear division between the two (Bewes).

Among better known (and relatively uncontentious) examples of the form are works such as Voltaire’s *Candide* (1759), Jean-Jacques Rousseau’s *Julie, ou la nouvelle Héloïse* (1761, *Julie, or the New Héloïse*),

Thomas Carlyle's *Sartor Resartus* (1833–34), Fyodor Dostoyevsky's *Brat'ya Karamazovy* (1880, *The Brothers Karamazov*), and Jean-Paul Sartre's *La Nausée* (1938, *Nausea*). However, an extremely wide and disparate range of canonical novels, from Jane Austen's *Pride and Prejudice* (1813) to George Eliot's *Middlemarch* (1871–72), have also been read by critics in such terms (McKeon, Jones), and it is clear that, as a genre, the philosophical novel is marked by an exceptional plasticity. Certainly, to the extent that it is not identifiable with any specific formal or technical quality—equally embracing, for example, the epistolary novel and science fiction, omniscient narrators and interior monologues—the attempt at any precise generic definition would seem inherently problematic.

ENLIGHTENMENT NARRATIVES

Although the extent of their direct influence upon Western European literary developments remains disputed, an important precursor to the philosophical novel is to be found in Arabic fictional narratives. Of particular significance is Ibn Tufail's *Hayy ibn Yaqzān*, written in the twelfth century. An early example of the desert-island story, *Hayy ibn Yaqzān* utilizes fictional narrative for explicitly pedagogical and didactic purposes, as a means of explaining, and dramatizing, philosophical-theological ideas. The book was newly translated into Latin in 1671 as the *Philosophus Autodidactus*, followed by English, German, and Dutch translations at the beginning of the eighteenth century, and is thought to have influenced Daniel Defoe's *Robinson Crusoe* (1719–22). It also bears comparison with a text such as Rousseau's *Émile* (1762)—anticipating the latter's use of novelistic form to elaborate a philosophy of education, in a manner

which was itself to exert a crucial influence on the later BILDUNGSROMAN.

It is in the context of the development of eighteenth-century Enlightenment philosophy, particularly in France, however, that the philosophical novel most clearly assumes its modern shape. Ian Watt notoriously claimed that eighteenth-century French fiction “stands outside the main tradition of the novel” (33), as opposed to that “inaugurated” by Defoe, Samuel Richardson, and Henry Fielding. Yet this *exception culturelle* might equally be regarded as a function of the unique centrality of the philosophical novel to the early French novel's development, constituting an alternate tradition to its Anglophone counterpart. In a later 1754 commentary on his *Lettres persanes* (*Persian Letters*), originally published in 1721, Montesquieu writes: “Nothing has been more pleasing in the *Persian Letters* than finding there, without expecting it, a sort of novel [*roman*]” (qtd. in Keener, 136). Although not quite the first epistolary fiction, Montesquieu's early use of that form lends it some distinctive characteristics, as he makes clear: “[I]n ordinary novels digressions may be permitted only when they form a new story themselves. The author should not add passages of philosophical discourse because . . . that would upset the nature and purpose of the work. But in a collection of letters . . . the author has the advantage of being able to join philosophy, politics, and morality with a novel” (qtd. in Keener, 137). Significantly, the *Lettres persanes* is thus marked, formally, by the extent to which philosophical reflection and social comment tend to predominate over characterization or narrative momentum (see EPISTOLARY).

The legacy of such openness to directly philosophical “digressions” may be located in a number of later eighteenth-century fictions such as *La nouvelle Héloïse* and the

Marquis de Sade's *Aline et Valcour* (1788, *Aline and Valcour*). Yet, tellingly, if the fictional and narrative works of Rousseau, or, say, Denis Diderot, are often regarded by critics as occupying a somewhat liminal position with respect to the mainstream history of the novel, it is because, in their apparent privileging of discursive reflection over plot or characterization, they are generally seen as belonging more properly to the history of philosophy itself.

By contrast, other eighteenth-century novels such as *Candide* or Samuel Johnson's *Rasselas* (1759) are much more clearly organized around "a single motivating [philosophical] doctrine [which] generates a parable that illustrates it" (Anderson, 172). These works are less distinguished by the heavy presence of philosophical discourse within the fabric of the text than by their specific use of novelistic technique to give "concrete" imaginative form to a set of more or less "abstract" theoretical propositions. Often close to allegory in this respect, characterization and plot are not so much downplayed in such novels, as they are used as a kind of literary means to implicitly philosophical ends. Characters thus tend to be constructed so as to embody specific intellectual positions, while fictional situations are deployed as illustrative of particular philosophical dilemmas.

Candide and *Rasselas* also conform to BAKHTIN'S theorization of the novel as acquiring its productive dynamic from the parodying of other GENRES—in this case, the "genre" of philosophy itself. Similarly to Jonathan Swift's slightly earlier comic deflations in *Gulliver's Travels* (1726), a novel such as *Candide* is, above all, parodic and satirical in its approach to the intellectual positions it engages, Voltaire's central target being a somewhat caricatured version of Leibnizian "optimism." The capacity of the novel to give concrete and

particular form to philosophically lofty ideas is thus deployed here to largely negative effect, as the theory that all is for the best in the best of all possible worlds" is violently confronted with the reality of the actual world *Candide* encounters (see PARODY).

FROM ROMANTICISM TO THE NOVEL OF IDEAS

Although it has had a far greater influence on the philosophy of the novel than on the philosophical novel itself, one key legacy of French Enlightenment narratives is to be found in early German Romanticism. Friedrich Schlegel's famous declaration that the *roman* (novel) is (or should be) a "romantic book"—a specifically modern fusion of "poetry and prose, inspiration and criticism" (1991, *Philosophical Fragments*, 31)—takes much from his readings of Rousseau and Diderot, as his 1799 "Letter about the Novel" makes clear, and is also manifested in a handful of novels attempted by the Romantics themselves, including Friedrich Hölderlin's *Hyperion* (1797–99), Novalis's *Heinrich von Ofterdingen* (pub. posthumously, 1802), and Schlegel's own *Lucinde* (1799). Alongside the French philosophical novel, the major reference point for these works is Johann Wolfgang von Goethe, in particular *Wilhelm Meister's Lehrjahre* (1795–96, *Wilhelm Meister's Apprenticeship*), of which Schlegel wrote an enthusiastic 1798 review. Initially, Novalis, too, praised Goethe's famous BILDUNGSROMAN as a work of "practical philosophy" and thus "true art," but his later misgivings concerning its focus on the quotidian particulars of contemporary bourgeois reality—"unpoetic to the highest degree, as far as spirit is concerned"—are perhaps more revealing as regards the philosophical novel's immediate fate (1997, *Philosophical Writings*, ed. M. M. Stoljar, 158).

Nineteenth-century REALISM did not prove especially conducive to the philosophical novel, for obvious reasons given its emphasis on the empirical and everyday. Many canonical works of realism certainly have strong philosophical elements within them—George Eliot’s novels, for example, exhibit an obvious influence of the German thought of which she was herself a translator—but these are rarely presented as dominant concerns. The exception to the rule here would appear to be the Russian novel, although, arguably, this is because of the exceptional nature of its relationship to the “foreign imports” of both Western European realism and post-Enlightenment philosophy (F. Moretti, 1998, *Atlas of the European Novel 1800–1900*, 195–97). In Leo Tolstoy’s *Voyná i mir* (1865–69, *War and Peace*), characters not only become the focal point for a complex exploration of different systems of belief, but, in its later sections, the novel increasingly incorporates philosophical and essayistic forms of discourse into the prose itself. Such direct argumentation is further combined in Dostoyevsky’s *Zapiski iz podpolya* (1864, *Notes from Underground*) with a more thoroughgoing construction of the novel as a vehicle for putting to “the test of life” particular contemporary ideas—in this instance, Russian nihilist and utopian socialist thought—a model which Dostoyevsky was radically to extend in a progressively ambitious series of works that followed.

Importantly, Dostoyevsky’s novels have come to be among the first since early German Romanticism to be accorded serious attention as philosophy. The “Grand Inquisitor” story recounted by Ivan in *Brat’ya Karamazovy* has, for example, frequently been anthologized and discussed as a significant philosophical argument in its own right. However, to treat such sections in isolation as minor philosoph-

ical treatises is to remove them from what Bakhtin describes as their specific “polyphonic” or “dialogic” context, which constitutes Dostoyevsky’s most significant contribution to the modern philosophical novel’s development. For the latter is generally less concerned with using the novel for the elaboration of a preconceived or “monologic” philosophical position than with the deployment of narrative as the means by which divergent ideas may be brought into (a frequently unresolved) conflict with each other in the work.

MODERNISM

The philosophical novel arguably returns to much greater prominence in so-called “high” modernism. Works such as Robert Musil’s *Der Mann ohne Eigenschaften* (1930–42, *The Man without Qualities*), Marcel Proust’s *À la recherche du temps perdu* (1913–27, *Remembrance of Things Past*), or Thomas Mann’s *Der Zauberberg* (1924, *The Magic Mountain*) are, for example, readable as varieties of philosophical novels in the degree to which they directly interpolate often lengthy philosophical reflection into the prose of the novel itself, whether via first-person narration or dialogue. At the same time, early twentieth-century novels that sought to elaborate (often idiosyncratic) philosophical ideas frequently did so, implicitly, as a means of responding to a perceived historical “crisis,” as in D. H. Lawrence’s *Women in Love* (written during WWI, pub. 1920). If such extensive incorporation of philosophical discourse recalls the eighteenth-century French philosophical novel, however, writers such as Musil or Mann tend to be far less systematic in their elaboration of any identifiable philosophical proposition, and more concerned, in the

wake of Dostoyevsky and Tolstoy, with constructing and meditating upon a confrontation between ideas as a means of representing the contemporary.

Although, in practice, the two overlap, a somewhat different type of philosophical novel might be identified in novels such as Hermann Hesse's *Siddhartha* (1922), Sartre's *La Nausée*, or Albert Camus's *L'Étranger* (1942, *The Outsider*). While both their literary tone and variant philosophical sympathies are radically different from those of a novel like *Candide*, such works still tend to conform, in broad terms, to that Voltairean model of the philosophical novel organized around a "motivating doctrine [which] generates a parable that illustrates it" (Anderson, 172). By contrast, a rather different manifestation of the philosophical novel would be identifiable in Franz Kafka's *Der Prozeß* (1925, *The Trial*) or Samuel Beckett's *Trilogy* (1951–53). Here it is less a question either of direct philosophical reflection, in the manner of *Der Mann ohne Eigenschaften*, or of the quasi-allegorical elaboration of a preexisting philosophical "content" by literary means, than of the degree to which such novels may be read as exploring a series of fundamental philosophical questions at the level of literary form itself. As Theodor Adorno argues, while in Sartre philosophical problems tend to be "diluted to an idea and then illustrated" (though this is perhaps less true of *La Nausée* than of the plays), in Beckett and Kafka "the form overtakes what is expressed and changes it" (241). In Beckett, this is complicated by a network of philosophical allusions that, while making his writing seem to "offer itself generously to philosophical interpretation," go on, as Simon Critchley puts it, apparently "to withdraw this offer by . . . reducing such interpretation to ridicule" (143). As such, recent readings of Beckett have often stressed the fundamentally parodic character of his allusions,

recalling, in their own way, the satirical eighteenth-century philosophical novels of Voltaire and Johnson.

CRITICAL ISSUES

For many critics, as Proust once remarked, a novel that too obviously trumpets the explicit "idea" behind its construction is akin to an artwork with the price tag left on. English Showalter's judgment that a writer like "Sade" has more interest because of his ideas than because of his talents as a novelist" (477) is, then, fairly typical of the opposing claims of literary value and philosophical originality or rigor that are often evoked in debates surrounding the philosophical novel. Adorno, for example, criticizes both Sartre, for using literature as a mere "clattering machinery for the demonstration of worldviews" (242), and Musil, for a predominance of "thinking" at the expense of properly novelistic narration (see S. Jonsson, 2004, "A Citizen of Kakania," *New Left Review* 27:140).

From a different perspective, however, it is the novel's very concrete sensuousness and attentiveness to everyday experience that has been said, by some, to lend it a special intellectual significance with regard to characteristically philosophical concerns. Hence Showalter argues that the novel may actually have been "the best medium" for a thinker such as Rousseau "to express his thought . . . [insofar as] the autonomy of . . . fiction nullifies the philosopher's tendency to sterile systems and abstract perfection" (476–77). It is not surprising, therefore, that the specific philosophical position with which many of the more successful early practitioners of the philosophical novel, such as Voltaire or Johnson, are associated is one that favors empiricism and a skepticism toward abstraction *per se*.

Finally, an obvious issue raised by this brief account concerns the degree to which the philosophical novel—in its loose, traditional, generic definition—has historically been, or remains, a European or “Western” form. Certainly the usual examples proposed of contemporary novels within the genre, such as Milan Kundera’s *Nesnesitelná lehkost bytí* (1984, *The Unbearable Lightness of Being*), have tended to be by somewhat self-consciously European writers. Of course, there are obvious instances of the philosophical novel to be found within the North American tradition, stretching back to the nineteenth century—from Herman Melville’s *Moby-Dick* (1851) to the works of William T. Vollmann and others today. Equally, there are many twentieth-century Japanese novels, like Kenzaburō Ōe’s *Man’en gannen no futtoboru* (1967, *The Silent Cry*), strongly influenced by existentialism, or his *Atarashii hito yo mezame yo* (1983, *Rouse Up, O Young Men of the New Age!*), that could be read as examples of the form. Surprisingly, while, for example, various of Jorge Luis Borges’s hugely influential short stories have often been understood as belonging to the broad tradition of the *conte philosophique*, critical consideration of the Latin American novel during the Boom period has rarely engaged any of its canonical works as instances of the philosophical novel, even if the writings of Alejo Carpentier or Isabelle Allende would certainly seem open to such interpretation.

More generally, attempts to locate examples of the genre beyond “the West” entail the perhaps difficult question of how far the modern European conception of “philosophy” itself can be projected onto other traditions of thought. This would clearly be an issue in assessing whether, for example, various instances of the modern Indian novel’s engagement with Hindu thought should be read as belonging strictly

to the philosophical novel tradition. Nonetheless, it is fair to say that there are, at the very least, strong parallels to be found in the case of works such as R. K. Narayan’s *The English Teacher* (1945), with its semiautobiographical exploration of grief and enlightenment, or Raja Rao’s *The Serpent and the Rope* (1960) and *The Chessmaster and His Moves* (1988), both of which draw extensively upon Vedantic thought.

SEE ALSO: Definitions of the Novel, Figurative Language and Cognition, Ideology, Intertextuality

BIBLIOGRAPHY

- Adorno, T.W. (1991), “Trying to Understand *Endgame*,” in *Notes to Literature*, vol. 1, trans. S. Nichol森.
- Anderson, P. (2006), “*Persian Letters*,” in *The Novel*, vol. 2, ed. F. Moretti.
- Bakhtin, M. (1984), *Problems of Dostoyevsky’s Poetics*, trans. C. Emerson.
- Bewes, T. (2000), “What Is ‘Philosophical Honesty’ in Postmodern Literature?,” *New Literary History* 31: 421–34.
- Critchley, S. (1997), *Very Little . . . Almost Nothing*.
- Jones, P. (1975), *Philosophy and the Novel*.
- Keener, F.M. (1983), *Chain of Becoming*.
- McKeon, R. (1979), “*Pride and Prejudice*,” *Critical Enquiry* 5(3): 511–27.
- Schlegel, F. (2003), “Letter about the Novel (1799),” in *Classical and Romantic German Aesthetics*, ed. J.M. Bernstein.
- Showalter, E. (1972), “Eighteenth-Century French Fiction,” *Eighteenth-Century Studies* (17.5)3: 467–79.
- Watt, I. (1972), *Rise of the Novel*.

Photography and the Novel

DANIEL A. NOVAK

The invention of photography (literally “light-writing”) was perhaps the most

important revolution in representation for the nineteenth and twentieth centuries. The development of the Victorian and modern novel—indeed, one might say modernity itself—is coterminous with the invention and development of photography and eventually film. As Michael North argues, “the very existence of a modern period, broken away from the time before, is to some extent the creation of photography, which has made all time since the 1840s simultaneously available in a way that makes the years before seem much more remote” (3). For the first time in human history, we were confronted by images made (seemingly) without the intervention of the human hand or human bias—an object more like an emanation of the thing itself than a representation. Because of this, the photograph had profound implications for how novelists imagined (and reimagined) the act of writing, depicting, and narrating, as well as how they negotiated the relationship between writer and world. Moreover, this impact was not limited to writers who considered themselves “realists” or even part of a movement like NATURALISM, but rather extended to literary movements that developed in response to REALISM, such as MODERNISM and post-modernism. Photography produced a sustained meditation on many of the concerns at the heart of novelistic fiction: point of view, framing, context, representation, identity, desire, and the nature of the human body itself. If one thinks about the most influential texts in the HISTORY of the novel, from Charlotte Brontë’s *Jane Eyre* (1847) and Charles Dickens’s *Great Expectations* (1861) to F. Scott Fitzgerald’s *The Great Gatsby* (1925) and William Faulkner’s *The Sound and the Fury* (1929), so many of them were written in the shadow of photography—what Nancy Armstrong refers to as “fiction in the age of photography.”

Photography is at once an idea—one might even say ideology, in the spirit of Karl

Marx’s famous comparison of IDEOLOGY to an image in a camera obscura—and a specific set of technologies. But, it is important to remember that throughout the nineteenth century photography was never one technology, with each format and process having important implications for how we understand photographic meaning, production, circulation, and reception. As Geoffrey Batchen (1999, *Burning with Desire*) points out, the “desire” to photograph predated 1839 (Daguerre’s announcement of the invention of photography), with experiments dating back to the beginning of the nineteenth century. But we conventionally associate the invention of photography with two figures: Louis J. M. Daguerre (1787–1851) in France and Henry Fox Talbot (1800–77) in England. Talbot began his experiments in 1834 but did not patent his “calotype” or “talbotype” paper process until 1841. Yet, while we refer to both of these methods as “photographic,” their different technologies represented a crucial difference in how we understand the relationship between photography and reproducibility. Daguerre’s method was a direct positive process, in which an image is developed on a silver-coated copper plate itself coated with light-sensitive chemicals, producing a *unique* and unreproducible image. In contemporary photographic terms, the daguerreotype was more akin to a Polaroid than a traditional film camera. Talbot’s process would be closer to what we think of as photography today—the negative/positive process with the capability to produce multiple reproductions.

At the same time, while enormously different, taken together, the daguerreotype and the calotype embody what we can refer to as the “photographic imaginary,” which broadly consists of two key ideas: (1) the idea of an objective, mechanically produced image free from human intervention (what Talbot calls the “pencil of nature”) and (2) the idea of an

image that can be endlessly reproduced, that, as Walter Benjamin (1892–1940) argued in his essay “The Work of Art in the Age of Mechanical Reproduction” (1936), is *designed* for reproducibility and for which there is no “original” (*Illuminations*, 224). Photography in this last sense represents a revolution not just in how we understand representation but also how we understand the relationship between original and copy. By 1851, with the invention of collodion (a material that was used to coat a glass plate and hold the light-sensitive chemicals), the promise of endless reproducibility became an industrial reality with millions upon millions of photographs being made, sold, and circulated. The development of the roll-film camera, popularized by Kodak in the late nineteenth century, finally extended the power of image making to the masses.

Given that photography was a key shift in how writers thought of the act of representation as well as a fact of everyday experience, it is no surprise that photographs and photographers littered nineteenth-century novels and are almost ubiquitous in those of the twentieth century. Some novelists (to name just a few), like Lewis Carroll, Émile Zola, Jack London, Eudora Welty, and Wright Morris, even took to photography themselves. Yet, beyond being a subject for novels, photography acted as a metaphor for writing. Nineteenth-century realists like Dickens, William Makepeace Thackeray, Gustave Flaubert, and Honoré de Balzac were praised for their “photographic” style. Mark Twain argued that novelistic characterization was like a “composite photograph . . . the blending of more than two or more real characters” (Rabb, 108). And this metaphor worked both ways, as photographs were praised for being “as good as a new novel” (E. Y. Jones, 1973, *O.G. Rejlander*, 15).

But photography could also be deployed to denigrate novels, either for not being

realistic enough or for being too focused on the fragmentary and material. George Henry Lewes (1817–78) condemned the photographic “detailism” in Victorian literature; by littering the text with “un-essential details” writers ended up making their texts both incoherent and unrealistic (1885, *Principles of Success in Literature*, 100–101; see DESCRIPTION). Such criticisms stretch into the twentieth century with the- orist Georg LUKÁCS (1885–1971) condemn- ing entire literary movements like Natural- ism and Modernism by associating them with a fragmentary “photographic” style (1948, *Studies*, 60, 143–45; 1962, *The Mean- ing of Contemporary Realism*, 45). Writing in 1856 about Dickens’s style, George Eliot uses the photograph to signify a form of representation that fails to go beyond sur- faces: “But while [Dickens] can copy Mrs. Plornish’s colloquial style with the delicate accuracy of a sun-picture . . . he scarcely ever passes from the humorous and external to the emotional and tragic, without becoming as transcendent in his unreality as he was a moment before in his artistic truthfulness” (1963, *Essays of George Eliot*, ed. T. Pinney, 271). The photograph’s accuracy—its tie to the material and the visible—here is what prevents it from representing the *invisible* subjects treated by novelists: thoughts, emo- tions, desires.

And yet, at the same time, writers were claiming that these invisible emotions, se- cret desires, and hidden tendencies were precisely what photography had the power to make visible. Holgrave, Nathaniel Hawthorne’s daguerreotypist in *The House of the Seven Gables* (1851) famously exposes Judge Pyncheon’s “unamiable” self: “There is a wonderful insight in Heaven’s broad and simple sunshine. While we give it credit for depicting the merest surface, it actually brings out the secret character with a truth that no painter would ever venture upon, even could he detect it” (91). Even if, as

Stuart Burrows has argued, Judge Pyncheon's character was never actually secret, never needed to be exposed by the power of photography (35), we are left with a vague sense of photography's association with a kind of gothic knowledge—an association often used to satirize photography as a “dark art” carried out in mysterious dark-rooms. Holgrave's claim that photography has the power to photograph the interior of the subject finds its technological and historical reflex in efforts to visualize invisible ideas, from emotion and morality to ghosts and fairies. Scientists, phrenologists, and the police harnessed the medium to create images of the insane and the criminal body. Charles Darwin (1809–82) made extensive use of (often staged and manipulated) photographs in his *Expressions of Emotions in Man and Animals* (1872). Others, like William H. Mumler (1832–84), turned the lens on even more inaccessible realms, claiming to have captured ghostly visitations. Even a writer firmly aligned with the deductive reasoning of his master detective Sherlock Holmes—Sir Arthur Conan Doyle—famously believed in the authenticity of photographs of fairies.

So thoroughly was photography integrated into literary perception, that by 1901, French novelist Émile Zola argued that “You cannot claim to have really seen something until you have photographed it” (Sontag, 87). While novelistic interest in the photograph overlaps with the equally important advent of film in the late nineteenth century, the still image remained enormously influential and important for MODERNISM, not only because of its continued association with the objective and real, but also because of its fragmentary, abstract, and context-less qualities. Henry James (who collaborated with photographer Alvin Langdon Coburn) theorized literary form as a kind of lens—the “apertures” in the “house of fiction” in his introduction to *Portrait of*

a Lady (1881): “The pierced aperture, either broad or balconied . . . is the ‘literary form’; but they are, singly or together, as nothing without the presence of the watcher” (7). Christopher Isherwood went further, collapsing the “watcher” and the lens, writer and camera: “I am a camera with its shutter open, quite passive, recording, not thinking” (1939, *Goodbye to Berlin*, 1). Isherwood's yearning for a kind of writing without writing is summed up in James Agee's remarks in his collaborative phototext with Walker Evans *Let Us Now Praise Famous Men* (1941): “If I could do it, I'd do no writing at all here. It would be photographs; the rest would be fragments of cloth, bits of cotton, lumps of earth . . . plates of food and of excrement” (10). If Agee invested the photograph with the same kind of material immediacy and authenticity as the “lumps of earth” and other pieces of his subjects, others, like John Dos Passos in his fragmented and montage-like “Camera Eye” sections of *U.S.A.* (1930–36), associated the camera with a new kind of abstract, mechanical perception that, as North argues, in its detachment was paradoxically aligned with a subjective point of view (146; see NARRATIVE PERSPECTIVE). The fact that photography is looked to as a model and metaphor for realistic, omniscient narration as well as stream-of-consciousness and avant-garde narrative styles (see NARRATIVE TECHNIQUE) shows not only how enduring and attractive, but also how flexible the idea of photography still remains for imagining the visual, narrative, and conceptual work of the novel.

PHOTOGRAPHY AND CONTEMPORARY LITERARY CRITICISM

As we have seen, photography was being linked to literature in general and the novel

in particular from its inception, and critics have continued to focus on the camera as metaphor for narrative point of view. Examples include Alan Spiegel's *Fiction and the Camera Eye* (1976) and Carol Shloss's *In Visible Light* (1987). However, it is only relatively recently that the study of photography and literature became a field in its own right. Much of this is due to the rising interest in critical theory and interdisciplinary research in general, and the relationship between the visual and verbal in particular. The work of Walter Benjamin and Roland Barthes has played and still plays an important role in how photography is understood, as has the work of John Berger, Susan Sontag, and W. J. T. Mitchell. Critics have been especially drawn to Barthes's *Camera Lucida* (1981), with its account of the photograph's historicity (its ability to record what "has been there") and its melancholy and strange temporality (it records what will no longer be there).

But, while photography is still used as a way to understand narrative point of view and literary realism, the past decades have seen an increased interest in reading literary realism alongside photography as a material artifact and cultural practice embedded in complex social, technological, political, scientific, textual, and economic histories. Critics like Carol Armstrong in her *Scenes in a Library* (1998) have explored the way in which photography was bound up with textuality and the book—literally in the form of the illustrated book and conceptually as a form of "written imagery" (3). In *Framing the Victorians* (1996), Jennifer Green-Lewis historicizes the image of the photographer in Victorian literature by tracing how photographers were figured and represented themselves in Victorian photographic journals. Miles Orvell analyzes the intersections of photography, consumer culture, advertising, and literature to trace the shift in the discourse of realism

from the nineteenth to the twentieth century—from a "culture of imitation" (based on familiar and "typological representation") to a "culture of authenticity" (based on a mechanical objectivity that would change how we see the world) (198).

More broadly, critics have theorized the relationship between literature and material photographic culture. In *Confounding Images* (1997), Susan Williams usefully outlines a methodology for reading literature and photograph which recognizes both how the photograph "affected American literary culture" but also how literary culture "affected popular conceptions of the daguerreotype" (3). Nancy Armstrong (1999) extends this reciprocal relationship into a reevaluation of literary realism itself. She theorizes a circular, reciprocal relationship between literary and photographic culture in which "fiction and photography had taken up a mutually authorizing relationship" (247), together defining what readers would consider "real" in the textual and visual realm.

Along the way, critics interested in realism have turned to photography, its cultural history, and the language in which it was described as a way of understanding a variety of novelistic preoccupations that intersect with realism, including RACE, nation (see NATIONAL), SEXUALITY, GENDER, surveillance, and power. Allan Sekula's essay on "instrumental" uses of photography to identify the unfit or deviant body by the police and the state in "The Body and the Archive" (1986) and John Tagg's *The Burden of Representation* (1993) have influenced a number of studies that employ the theories of Michel Foucault to understand the relationship between realism and social control. For example, Jennifer Green Lewis has chapters devoted to photographs of the criminal and insane body. Ronald Thomas's *Detective Fiction and the Rise of Forensic Science* (1999) reads novels from Dickens

to Raymond Chandler in the context of photography's associations with surveillance and detection (see *DETECTIVE*). Others, like James Ryan, Catherine Lutz, Jane Collins, and Kobena Mercer, have explored the relationship between photography and colonialist ideology.

Most recently, however, scholars have explored the ways in which photography was associated with a way of seeing that was not reducible to the kind of instrumental realism discussed in earlier studies. Katherine Henninger argues that the critical habit of seeing the camera as "inherently a 'master's tool'" or an instrument of the "male gaze" functions as a kind of "ideological fantasy" dependent on accepting photography's "realism" as "natural" and ignoring photography's "radical indeterminacy" (116–17). Henninger locates this indeterminacy in contemporary Southern women's literature and its use of the "fictional photograph"—the photograph described in language. For Henninger, translating the photographic object into language has the effect of foregrounding "the cultural dynamics of vision and visual representation" (9) and opens a space for resisting patriarchal (see *FEMINIST*) and racist ideologies (see *IDEOLOGY*).

Others, such as Daniel A. Novak, argue that, while some Victorian writers associated photography with objectivity, they also aligned it with fiction and the unreal. Rather than a process that recorded accurate "likenesses" of individuals, photography was seen as a medium that effaced particularity and individuality. In this context, he reads the often spectral, abstract, and typological figures in texts considered part of Victorian "realism" not as failures of realistic representation but as figures aligned with photography and photographic discourse. Along the same lines, Stuart Burrows argues that "the relationship between photography and American fiction is one

not *of* likeness but *about* likeness" (19). For him, photography embodied a flattening of difference and redundancy that rendered American identity and history both homogeneous and "endlessly reproducible" (11). Like Novak and Burrows, Richard Menke (2008, *Telegraphic Realism*) associates photography more with the abstract than the real; he places photography in the context of the nineteenth-century invention of disembodied and immaterial "information." Finally, North points to the ways in which photography transformed both vision and writing itself but in unexpected ways: "Photography is itself a kind of modern writing . . . neither linguistic nor pictorial but hovering in a kind of utopian space between, where the informational utility of writing meets the immediacy of sight" (4). For North, the shifts in perception *away* from realism and even the visible itself that we associate with modernism started with the invention of photography in the nineteenth century.

This rich and diverse body of critical work on photography and literature—even and especially work that reaches back into history—forms the contours of a field that will only become more important for understanding our contemporary culture, a culture that increasingly accesses text in a digital and visual environment.

SEE ALSO: Adaptation/Appropriation, Graphic Novel, Intertextuality, Memory, Novel Theory (19th Century).

BIBLIOGRAPHY

- Armstrong, N. (1999), *Fiction in the Age of Photography*.
 Barthes, R. (1981), *Camera Lucida*.
 Burrows, S. (2008), *A Familiar Strangeness*.
 Green-Lewis, J. (1996), *Framing the Victorians*.
 Henninger, K. (2007), *Ordering the Façade*.
 Mitchell, W.J.T. (1994), *Picture Theory*.

- North, M. (2005), *Camera Works*.
 Novak, D.A. (2008), *Realism, Photography, and Nineteenth-Century Fiction*.
 Orvell, M. (1989), *The Real Thing*.
 Rabb, J., ed. (1995), *Literature and Photography*.
 Sontag, S. (1977), *On Photography*.

Picaresque Novel

ALOK YADAV

Picaresque is a critical construct used since the nineteenth century to refer to both a specific novelistic genre and a wider fictional mode. In its narrower usage, the term refers to a genre of fiction centered on the life of a *pícaro* or *pícaro*. Scholars have built up a normative conception of this genre, according to which the picaresque novel consists of a retrospective first-person narrator writing an episodic and open-ended narrative about his or her life as a rogue, one who hails from a low or dishonorable background and travels from place to place in a struggle for survival (see NARRATIVE PERSPECTIVE). The *pícaro* seeks a secure foothold while living by his or her wits in an exploitative, corrupt, urban world.

The picaresque novel flourished in late sixteenth- and early seventeenth-century Spain, and was transformed as it spread during the later seventeenth and eighteenth centuries to other European countries, especially England, France, and Germany. Since the nineteenth century, the picaresque is also evident in Russia, the U.S., and Latin America, but by this point it is easier to talk of a picaresque mode manifest in a wide range of novels than it is of the picaresque novel as a distinct genre. After its initial emergence, the history of the picaresque novel is both one of generic disintegration and of modal consolidation, a complex dynamic addressed below in two parts: (1) Spanish origins and (2) generic transformations.

SPANISH ORIGINS

The picaresque novel is generally seen as an early modern innovation, a new cultural form that emerged in Golden Age Spain and which played a significant role in the subsequent development of the novel. However, the genre draws on many antecedents, ranging from such Spanish works as *La Lozana andaluza* (ca. 1528–30, *Lozana, the Lusty Andalusian Woman*) by Francisco Delicado, *La Celestina* (1499) by Fernando de Rojas, and the *Libro de buen Amor* (1330, *Book of Good Love*); to medieval buffoon literature, the Arabic genre of the *maqāma*, and folk materials such as trickster tales; to narratives from antiquity, including Apuleius's *The Golden Ass* (ca. 100–200 CE) and Homer's *Odyssey*.

Generally considered the first picaresque novel, the anonymous *La vida de Lazarillo de Tormes* (1554, *The Life of Lazarillo de Tormes*) was followed, after a forty-year gap, by the immensely successful *La vida de Guzmán de Alfarache* (1599–1604, *The Life of Guzman de Alfarache*) by Mateo Alemán, and then by other novels that participated in the picaresque vogue, such as Francisco López de Ubeda's *La pícaro Justina* (1605, *The Rogue Justina*), Alonso Jerónimo de Salas Barbadillos's *La hija de Celestina* (1612, *Celestina's Daughter*), Vicente Martínez Espinel's *Marcos de Obregón* (1618), and *El buscón* (1626, *The Swindler*) by Francisco de Quevedo y Villegas. Many of these works have a complicated relation to the generic construct of the picaresque novel. *Marcos de Obregón* and *El buscón*, for example, have been described as subverting the genre, but they all exploit and respond to the new kind of fiction popularized by *Guzmán de Alfarache*, contributing to the development of a generic tradition even as they modify it.

Much modern criticism investigates the relationship between social reality and

cultural form in the emergence of the picaresque novel. The form is understood as engaging in a social critique of the caste society of Golden Age Spain—especially the marginalization of *conversos*, or “new Christians,” deriving from Jewish or Muslim families—and offering a critical response to the emergence of commercial modernity and the subsequent hollowing-out of traditional systems of value. According to José Antonio Maravall, the identity of literary *pícaros* is constituted not simply by their low condition but by their rejection of the notion that the social status into which one is born constitutes one’s destiny for life.

Scholars emphasize the fact that picaresque novels have been written from different ideological perspectives and that they offer a range of views on the making of a *pícaro* and the legitimacy of his or her social ambitions. Some picaresque novels blame the *pícaros*’ heredity or intrinsic nature, while others view them as products of their degraded environments and closed social opportunities. Some picaresque fictions blame the *pícaros*’ social ambition as the impulse behind their knavery, while others validate their ambition to escape miserable circumstances.

Attention to the ideological diversity of picaresque novels has not prevented scholars from positing a generic construct of the genre in terms of a constellation of supposedly characteristic features across three dimensions: the character of the protagonist, the formal structure of the narrative, and the typical storyworld inhabited by the characters. Although it is difficult to confine the actual diversity of picaresque novels within this generic construct, it nonetheless informs scholarly discussion of the topic and provides a useful lens for examining individual works (Dunn).

The protagonist of a picaresque novel typically hails from a low, dubious, or disgraced family background and is quickly

orphaned or expelled from the family home. From this point on, the *pícaro* exists as a lone individual burdened with the shame of his or her family background and engaged in a struggle for survival. The protagonist exists in a world of fraud, deceit, theft, and exploitation, and experiences physical hardship in the form of hunger, filth, and violence. He or she survives more through tricks and stratagems than penurious labor. Purveyors of fictions and narrators of their own stories, *pícaros* might be said to have at least as much affinity with actors and writers as with the criminals and delinquents whose kin they become.

Picaresque novels are as interested in the social world inhabited by the protagonist as they are in the figure of the *pícaro* or *pícaro*. Although they hail from a low milieu, they move among the respectable as servants, apprentices, or beggars, and harbor aspirations to join this world. As a result, picaresque novels shine a spotlight on this other world as well. Indeed the encounter between the *pícaro* and respectable society forms a central part of the narrative interest of the picaresque novel and gives it much of its satiric edge by revealing the respectable world as operating under a more organized form of the exploitation, theft, and fraud that characterizes the *pícaro*’s low milieu.

In picaresque novels, the characteristics of the *pícaro* and his or her world are also typically accompanied by certain narrative structures. Lacking any secure place in the world, *pícaros* are itinerant figures, moving from place to place and from master to master. The vagrancy of the *pícaro*’s life results in the episodic and open-ended plot structure. It is a life lived at hazard, and the episodic plot embodies this chanciness by not offering the reassurances of a providential order or comic plot.

Moreover, the *pícaro* is not only the protagonist but also the retrospective narrator of the action. The distance between the

persona of the narrator and the younger self whose actions he or she narrates serves as the basis for an important dynamic in picaresque novels. From the narrator's relationship with the protagonist it may not be entirely clear whether it is the *pícaro* or the *pícaro's* society which is being held up for the reader's critical examination. The *pícaro's* experiences as protagonist may be harsh, but they are rarely inflected as tragic; rather, they are often presented in the mode of coarse comedy, grotesque or scatological humor, or as farce.

Interpretation of picaresque novels is inherently tricky due to the narrative's status as the testimony of a liar. The reader is left to assess the ways in which the narrative might be unreliable, ironic, or elliptical (see NARRATIVE STRUCTURE). Moreover, picaresque novels often make use of self-conscious, multilayered narration with an intrusive narrator, a present narratee, direct address to the reader, extensive commentary, self-reflexive references, and allusions to other literary works. Older criticism tends to emphasize the "realistic" texture of picaresque novels and their engagement with the quotidian, even as it makes assumptions about the "simple" and "primitive" nature of these narratives. Recent criticism emphasizes the discursive complexity of the genre.

GENERIC TRANSFORMATIONS

The immense popularity of *Guzmán de Alfarache*, and the concomitant revival of interest in *Lazarillo de Tormes*, served to establish the picaresque, but almost immediately the genre began to be appropriated or elaborated in diverse ways. Peter Dunn argues that "after *Guzmán* there is no unified, coherent picaresque genre" (265). This is in part because the picaresque novel does not develop in isolation from but as a

counter-genre to other genres and discourses. These include the chivalric romances, sentimental novels, Moorish novels, pastoral novels, Counter-Reformation religious discourse, popular mystic literature, autobiography, confessional writings, Renaissance humanist discourses about the dignity of man, and the quixotic mode inaugurated by Miguel de Cervantes Saavedra.

The relational identity of picaresque novels has a double effect. Their oppositional, counter-generic stance gives them certain similarities of outlook and method, despite the variety of genres and discourses they engage, but at the same time this very diversity of counter-generic engagements has the effect of pulling the genre in various directions and transmuted it into a variety of successor forms. This latter process was exacerbated as the picaresque novel was translated and adapted in other European countries. The general effect elevated the social identity of the *pícaro* and turned the protagonist, in this respect, "into an 'anti-*pícaro*'" (Sieber, 59).

In Spain, as elsewhere, the genre was transformed along several different lines. In one direction, the adventure element came to the fore and the picaresque novel shifted into "the picaresque adventure stories of Salas Barbadillo and Castillo Solórzano" (Bjornson, 70). Indeed, the major picaresque fiction in Germany, *Der abentheuerliche Simplicissimus* (1668, *Simplicius Simplicissimus*) by Hans Jakob von Grimmelshausen, is seen as both an example of the *Schelmenroman* (picaresque novel) and the *Abenteuroman* (adventure novel). Where the element of itinerant travel became most prominent and expansive, the picaresque novel modulated into the peripatetic novel, often in exotic settings (e.g., James Moirer's *The Adventures of Hajji Baba of Ispahan*, 1824). In a third direction, the focus on *pícaras* led to works like Daniel

Defoe's *The Fortunes and Misfortunes of the Famous Moll Flanders* (1722).

Along another trajectory, the picaresque novel modulated into the *BILDUNGSROMAN* (novel of formation). The social aspirations of the *pícaro* are more successfully realized in later adaptations as the picaresque novel grows into the novel of social ascension, as in the major French picaresque novel, *L'Histoire de Gil Blas de Santillane* (1715–35, *The Story of Gil Blas de Santillane*) by René Lesage, and in British works like Tobias Smollett's *The Adventures of Roderick Random* (1748). The picaresque itinerary through different scenes in a given society leads directly to the object narratives of the eighteenth century, in which a nonhuman protagonist functions as a window onto various social milieus in a given society (Aldridge). In the nineteenth century the panoramic dimension of the picaresque novel gave rise to the survey of customs and manners in the *costumbrismo* genre in Latin America, while the itinerant plot of the picaresque novel fed into the road-trip fiction of the twentieth century.

There has been a neo-picaresque revival in the twentieth century, anticipated by Mark Twain's *The Adventures of Huckleberry Finn* (1884), and continuing with such works as Thomas Mann's *Die Bekenntnisse des Hochstaplers Felix Krull* (1911–54, *The Confessions of Felix Krull*), José Rubén Romero's *La vida inútil de Pito Pérez* (1938, *The Futile Life of Pito Perez*), Camilo José Cela's *Nuevas andanzas y desventuras de Lazarillo de Tormes* (1944, *New Fortunes and Misfortunes of Lazarillo de Tormes*), and Günter Grass's *Die Blechtrommel* (1959, *The Tin Drum*).

The Spanish picaresque flourished in the transitional space between the breakdown of traditional paternalistic notions of honor, including the social obligations of patron and client, and the reconceptualization of "selfishness" into the utilitarian social ethic

of the bourgeois era. Eighteenth-century European adaptations of the picaresque novel function as part of this transformation of materialism and egotism into a kind of social ethic. Thus the picaresque drama of exclusion and social contempt was transformed, among other ways, into a narrative of social ascension. But the renewal of the picaresque novel since the late nineteenth century resonates powerfully with earlier picaresque social contexts. The proletarian narratives of the 1930s and the situations evoked in some contemporary postcolonial novels revive a picaresque sensibility in response to conditions of social exclusion and degradation. In works such as Uzodinma Iweala's *Beasts of No Nation* (2005) and Aravind Adiga's *The White Tiger* (2008), modern picaresque returns us to a world in which society functions not as an enabling structure for human life and livelihood, but as an oppressive structure or an anarchic chaos that reduces people to the condition of homeless and vicious *pícaros*.

The difficulties of a generic conception of the picaresque, combined with the literary-historical complexity of the neo-picaresque revival in the twentieth century, have given rise to attempts at a modal conception of the picaresque that is much sparser and more malleable. It addresses characteristics of the protagonist and his or her fictional world "in which disharmony, disintegration, and chaos prevail" (Wicks, 45), but it does not imply any of the conventional assumptions about narration or plot (e.g., first-person narration, episodic plot). As a result, a modal conception of the picaresque applies to a much wider range of novels than the generic conception. The modal conception of the picaresque helps secure its status as an addition to what André Jolles calls the "permanent inventory" of fictional possibilities (quoted in Wicks, 41).

SEE ALSO: Character, Class, Genre Theory, History of the Novel, Intertextuality, Life Writing, Modernism, Plot.

BIBLIOGRAPHY

- Aldridge, A.O. (1972), "Fenimore Cooper and the Picaresque Tradition," *Nineteenth-Century Fiction* 27:283–92.
- Alter, R. (1964), *Rogue's Progress*.
- Bjornson, R. (1977), *Picaresque Hero in European Fiction*.
- Dunn, P. (1993), *Spanish Picaresque Fiction*.
- Eisenberg, D. (1979), "Does the Picaresque Novel Exist?" *Kentucky Romance Quarterly* 26:203–19.
- Guillén, C. (1971), *Literature as System*.
- Maiorino, G., ed. (1996), *Picaresque*.
- Maravall, J.A. (1986), *Literatura picaresca desde la historia social*.
- Parker, A.A. (1967), *Literature and the Delinquent*.
- Rico, F. (1984), *Spanish Picaresque Novel and the Point of View*.
- Sieber, H. (1977), *Picaresque*.
- Wicks, U. (1989), *Picaresque Narrative, Picaresque Fictions*.

Plot

K. M. NEWTON

Plot is one of the oldest of critical terms, since it is a translation of Aristotle's *mythos* in the analysis of tragedy in his *Poetics* (ca. 335 BCE). For him it meant "the organization of events" (11), and is the most significant of the six elements that he argues constitute tragedy; it is the "most important thing of all" (11) and the "source and . . . soul of tragedy" (12). He emphasized the need for a coherent relationship between the incidents that combine to produce a tragic drama in order that the action of the play is not episodic but exists as an organic whole. Intrinsic to his concept of tragedy is "effecting through pity and fear the purification of such emotions" (10) and plot functions as the most important formal element in achieving this (see COMEDY).

Though Aristotle's concept of plot is highly formalist, it has influenced the novel, but it should be remembered that the origins of the novel derive more from narrative modes such as epic and romance than from dramatic modes such as tragedy (see FORMALISM). As Erich Auerbach has argued, the development of narrative from the classical period onward can be persuasively discussed in terms of the representation of reality. In the first chapter of his study *Mimesis*, entitled "Odysseus' Scar," he suggests that the basis of the representation of reality in Western literature is to be found in two ancient and opposed types of narrative: the Homeric epics and the Bible. In their representation of reality, the one turns away from plot, the other embraces it. Auerbach claims that "the element of suspense is very slight in the Homeric poems; nothing in their entire style is calculated to keep the reader or hearer breathless. . . . What [Homer] narrates is for the time being the only present, and fills both the stage and the reader's mind completely" (3–4). The scar on Odysseus's leg is the subject of a digression because nothing should be left in an "unilluminated past" (4). In representing external phenomena or psychological processes, "nothing must remain hidden and unexpressed . . . the Homeric style knows only a foreground, only a uniformly illuminated, uniformly objective present" (5). This is because "delight in physical existence is everything to [the Homeric poems], and their highest aim is to make that delight perceptible to us" (10).

In contrast, biblical narrative is dominated by plot in which suspense plays a significant role. For example, "in the story of Abraham's sacrifice, the overwhelming suspense is present" (8). Whereas in Homer the past is absorbed into the present, thus abolishing history as difference, in the Bible story "time and space are undefined and call for interpretation," so that "Abraham's actions are

explained not only by what is happening to him at the moment, nor yet only by his character . . . but by his previous history” (9). In a Homeric narrative like *The Odyssey*, “this ‘real’ world into which we are lured, exists for itself, contains nothing but itself; the Homeric poems conceal nothing, they contain no teaching and no secret second meaning,” while in contrast “[w]hat [the Biblical narrator] produced . . . was not primarily oriented toward ‘realism’ (if he succeeded in being realistic, it was merely a means, not an end); it was oriented toward truth. . . . The Bible’s claim to truth is not only far more urgent than Homer’s, it is tyrannical—it excludes all other claims” (11–12).

For Auerbach, these narratives are opposed in style and in their assumptions about the nature of reality (see *REALISM*). In the Bible, in his reading of it, reality must be part of a narrative structure and interpreted if truth is to be revealed; the meaning or significance of events and human speech cannot necessarily be taken at face value, as they are in Homer, if they are to be understood. The plot of the biblical narrative gives meaning to the world even if that meaning is dependent on a theological conception of truth. Homer’s narrative, according to Auerbach, being unconcerned with truth or meaning beyond the experience of physical existence, thus lacks the intellectual basis of biblical narrative. But does the Bible not sacrifice experiential reality in incorporating it within a structure of plot and framing it within a single concept of truth? Is it not also open to the objection that reality is distorted by its theological agenda? It is only with the emergence of the novel in the modern era, Auerbach goes on to suggest, that a narrative form is created that aspires to overcome the opposition between the Homeric and the biblical representation of the real. But can it be done persuasively? Can the limitations of each approach be overcome?

An overview of the eighteenth-century novel shows that its dominating drive is to represent in narrative social reality and the human experience of it. But in giving that narrative a structure that goes beyond narrating a story as a mere sequence of events through the construction of a plot, can a convincing representation of reality be created? Novelists from the eighteenth century onward can be seen as grappling with this problem, at a conscious or unconscious level. In *Moll Flanders* (1722), Daniel Defoe’s method is to use first-person narration in which the narrator tells the reader the story of her life. Because the narrator is telling her own story, it stands in place of a plot that connects events and incidents, as the consciousness and personality of the narrator give them significance, Moll being at the center of all that is narrated. Yet is first-person narration enough in itself to transform mere story into plot and overcome the objection that the narrative is essentially episodic? In the epistolary novel, identified with Samuel Richardson in the novels *Pamela* (1740–41) and *Clarissa* (1747–48), the characters still narrate in the first person but in letters which relate to specific experiences and to the personal problems and issues that derive from them. Suspense is built into the narrative, especially *Clarissa*, as the reader does not know what is going to happen next and how threatening situations will be resolved. This provides a plot structure, but one which is integrally connected with the tangible experiences of Clarissa Harlowe, the most important letter writer in the novel, so that it appears that there is no separation between plot and character. The intensity with which the letters are written gives the experiences being recounted a powerful sense of presence even if they are not happening precisely at the time of writing. Another advantage of the epistolary form over Defoe’s first-person narration is that more

than one character can be brought into play as the letters are exchanged, and provoke responses from the recipients.

Henry Fielding rejected Richardson's method. In *Tom Jones* (1749) he constructed a narrative in which virtually every character or incident is incorporated into the novel's much admired plot, with the narrator represented as a historian writing about real events, thus giving the narrative credibility. Jones's experiences are described in detail but the narrator can also distance himself from them and reflect on the wider issues they raise. This became an influential narrative form for mid-Victorian novelists. That there was doubt in this period as to whether novels could legitimately claim to represent reality with any authenticity is strongly suggested by Laurence Sterne's *Tristram Shandy* (1759–67), which satirizes any attempt to create a plot that can make sense of reality, thus mocking the novels of both Richardson and Fielding. Another significant development was the reaction against realism with the emergence of the GOTHIC novel in the later eighteenth century. Though not rejecting realism as such, it introduced fantasy and the supernatural, and is particularly notable for making plot the central element in the narrative through emphasizing suspense and mystery, with the result that complexity of character and theme become subordinated to plot.

Jane Austen famously mocked the gothic novel in *Northanger Abbey*, published posthumously in 1818, but probably written in 1798–99. Austen is not generally seen as a major innovator but her fiction can be seen as being aware of and, at a formal level, responding to the work of her eighteenth-century predecessors, especially in regard to her handling of plot. Like Fielding, she uses third-person narration, but her narrator is not a historian and there is little of Fielding's general reflections on life and the world. The novel is narrated at the time the action is

happening and point of view is primarily focused on the main character without judgment from a future perspective being explicit. This means that the plot is not organized in such a way as to give the reader at a first reading knowledge superior to that of the main character. Even though narration is in the third person, the use of free indirect speech—which merges third-person narration with the character's point of view in her own language—gives the reader a strong sense of empathy with the character and defers judgment (see DISCOURSE). Austen also exploits her reading of gothic fiction by making suspense or a situation that does not seem open to resolution integral to her plot, most obviously, as in *Pride and Prejudice* (1813), whom the heroine shall marry, given that the obstacles in the way of a satisfactory marriage might seem insuperable. The ambiguity of reality is also a feature of the Austen plot. In *Emma* (1816), the eponymous heroine is continually misreading events and the behavior of other characters, partly motivated by the limits of her life and the influence of romantic ideas on her mind. The reader, however, knows no more than Emma, which leads to a more active involvement in the novel's plot since the reader has to interpret the same ambiguous events and actions as Emma. For this reason, *Emma* can be compared to a DETECTIVE story. An advantage of this approach to plot is that, as in Richardson, there is no separation between character and plot. Emma's mistakes and misjudgments constitute the plot and at the same time reveal her character both to herself and to the reader. This leads to ethical reflections on Emma's part and potentially also on the part of the reader. A well-known critical comment of Henry James has strong application to Austen: "What is character but the determination of incident? What is incident but the determination of character?" (1988, 174). It is likely that Austen, in her use of a single plot and a

restricted point of view, was a more significant influence on him than he was prepared to admit.

For mid-Victorian novelists Austen's fiction was seen as too narrow in scope for their purposes. Walter Scott famously contrasted her "exquisite touch" with his "Big Bow-Wow strain" (Southam, 155). Scott's creation of the HISTORICAL novel expanded the horizons of fiction and was a major influence on French social realism of the first half of nineteenth century, notably in the novels of Stendhal and Honoré de Balzac. These influences may have affected Victorian novelists in England, for they adopted a new approach to plot, one which they no doubt believed could best represent the more complex social world of the mid-nineteenth century. In contrast to Austen's use of a single plot with the point of view confined to one character, the multi plot novel was created, with Charles Dickens, W. M. Thackeray, George Eliot, and Anthony Trollope being its best-known exponents.

Eliot's *Middlemarch* (1871–72), for example, begins like an Austen novel with the upper-middle-class heroine, Dorothea Brooke, living in a small community and, like Austen's Emma, prone to perceive reality in the light of her imaginative constructions. In the Austen plot, the heroine's mistakes and misinterpretations are eventually overcome or resolved and the audience has the expectation of there being a happy ending in marriage with a man who eventually proves to be a worthy husband. *Middlemarch* confronts the reader with a more uncertain world. In Eliot's version of the Austen plot misinterpretation can have serious, even disastrous, consequences, and happy endings are not assured, and even if they occur the reader is likely to feel some disquiet. The Dorothea Brooke plot is just one of several in this novel, and others soon emerge, notably that relating to Lydgate. He is a doctor and scientist and through him the

novel's scope is greatly widened. The multi-plot in *Middlemarch* leads to the narrator with a limited point of view, as in Austen, being replaced by a dominant Fielding-influenced narrator who can move from representing the points of view of several characters to standing apart from all the characters and reflecting or commenting on the action and its implications. Readers can be pulled up sharp in their sympathetic perception of Dorothea by the narrator's intervention in chap. 29: "But why always Dorothea? Was her point of view the only possible one with regard to this marriage?" This is disingenuous on the narrator's part, as the plot up to this point has encouraged the reader to see things from Dorothea's point of view, and in this radical departure the reader is exposed to the idea of the relativity of points of view in regard to how reality is perceived and interpreted, and thus to the need for the novel to have multiple plots in order to create a more complex conception of the real.

The multi-plot novel is open to the objection that it is episodic and irreconcilable with the Aristotelian conception of how plot should function, though novelists like Dickens, Eliot, and Trollope could have argued that they were following Shakespeare's practice with regard to plot rather than classical models. They also attempt to avoid the episodic by the use of structural and thematic links between different plots in order to create narrative unity. In Dickens's *Little Dorrit* (1857) the various spheres of the novel are connected both literally and metaphorically by a recurrent prison-motif reinforced by patterns of imagery, though hardly any commentators on the novel at the time seem to have noticed this (Collins, 2003). In *Middlemarch* the narrative draws attention to parallels between the various plots in the titles of the Books that make up the novel, such as "Waiting for Death" and "Three Love Problems." The deaths of Casaubon and

Featherstone, which affect all of the plots of the novel, have been seen as Eliot's using "coincidence" as a formal device to create narrative unity (Hardy, 1959). This might suggest that linking of these deaths belongs to "story" in itself as a sequence of events, but it is the narrator who creates thematic connections between the deaths by organizing the narrative through plot to highlight parallels between events that another observer would not necessarily see. The various plots are designed by the narrator to give structure to the narrative and this organization is not independent of the narrator's perceiving and interpreting mind.

Despite the intricacy of the structure of multi-plot novels such as *Middlemarch*, Henry James criticized them for lacking form, which made them irreconcilable with his concept of art. In a review, he famously said, "*Middlemarch* is a treasure-house of details, but it is an indifferent whole" (qtd. in Haight, 81). He believed that for form to function authentically in the novel there must be only a single plot governed by one dominating point of view. In a more general attack on the multi-plot novel, mentioning specifically Thackeray's *The Newcomes* (1853–55) and Leo Tolstoy's *Voyná i mir* (1865–69, *War and Peace*), he wrote, "But what do such large loose baggy monsters, with their queer elements of the accidental and the arbitrary, artistically mean?" (1988, 84). James was an influence on an important strand of the modernist novel in which plot is increasingly downgraded (see MODERNISM). James's later novels become more and more complex in their organization and use of language. A crude summary of novels such as *The Wings of the Dove* (1902) or *The Golden Bowl* (1904) reveals that these novels do have plots but that the plot has little importance in itself. In the more experimental novels written during the modernist period, such as those by James Joyce and Virginia Woolf, plot is—if not dis-

carded, which may be impossible—minimal at best. Modernist novels look toward other means of organizing narrative. The downgrading of plot reaches perhaps its highest point in Woolf's *To the Lighthouse* (1927), where both historical and personal events that would have been crucial to the plots of earlier novels are merely mentioned in passing. In the very short second section of the novel, the dominant character of the first section, Mrs. Ramsay, dies; WWI takes place, in which her son is killed; and her daughter dies in childbirth. All of these, of course, have effects, but they are of little interest to Woolf at the level of plot.

One reason for the retreat from plot in modernism and in later fiction influenced by modernism may be that novelists tended to share James's view that it was futile for the multi-plot novel to try to capture something as multifarious as reality or the many aspects of society, and that if the novel was to succeed as art it had to aspire to "organic form"—"I delight in a deep-breathing economy and an organic form" (1937, 84)—in order to achieve an authentic artistic unity. But perhaps a more important reason is that just as plot-driven gothic romance emerged in the later eighteenth century as an alternative to the dominant realist mode, in the latter half of the nineteenth century the "Sensation Novel" challenged the dominance of social realism, and a more radical division than was apparent in the past began to develop between "literary" and "popular" fiction. Plot dominates the novels of "sensation" writers, particularly the devices of suspense, surprise, and intrigue, which keep the reader turning the pages to discover what will happen next and how problematic situations will be resolved, albeit with a sense of certainty that they will be. Trollope, in his *Autobiography*, first published posthumously in 1883, contrasts the kind of novel he as a mid-Victorian realist tried to write with the plot-dominated fiction

written by Wilkie Collins—“with Wilkie Collins . . . it is all plot” (156)—the best-known sensation novelist:

When I sit down to write a novel I do not at all know and I do not very much care how it is to end. Wilkie Collins seems so to construct his, that he not only, before writing, plans everything on, down to the minutest detail, from the beginning to end; but then plots it all back again. . . . One is constrained by mysteries and hemmed in by difficulties, knowing, however, that the mysteries will be made clear and the difficulties overcome at the end of the third volume. Such work gives me no pleasure . . . (159–60)

Trollope had used intrigue and suspense in the plots of his own fiction but almost regarded them as mere expedients to keep the plot going and the reader interested. In chap. 30 of *Barchester Towers* (1857), the narrator writes of Eleanor Bold: “How easily would she have forgiven and forgotten the archdeacon’s suspicions had she heard the whole truth from Mr. Arabin. But then, where would have been my novel?” He creates suspense and then dissipates it; the reader is assured in chap. 15 that “it is not destined that Eleanor shall marry Mr. Slope or Bertie Stanhope.” Trollope’s narrator is well aware that what most readers of novels may want is to be kept in suspense, at least until near the end of the novel, but pretends that they are too high-minded to need such devices in order to be interested in the characters and their situations.

Novelists like Dickens, Eliot, and Trollope were able to take the novel seriously as literature but also appeal to a wide audience. Plot remained central, together with devices like suspense and surprise, but it did not break free from character, theme, or style. In the late nineteenth and early twentieth centuries, there is a serious split in the reading public for fiction: the novel that aspires to be “literary,” with its downplaying of plot and page-turning devices, becomes the interest of

a minority. The great majority of novel readers in the late nineteenth century and beyond, however, read fiction in which plot is overwhelmingly important, such as the sensation novel (see MELODRAMA) and gothic fiction—Bram Stoker’s *Dracula* (1897) being the best-known late nineteenth-century example of the latter. The popular novel becomes increasingly associated with plot-dominated genres such as crime and detective fiction, horror, fantasy, and family sagas. This situation continues, as is apparent from bestseller lists. Bestselling novels seldom win literary prizes, which generally go to the kind of “literary” fiction that underplays plot in favor of linguistic inventiveness, imaginative sweep, or narrative experiment. The winners of such prizes can sell many copies, but hardly compete with the plot-driven bestsellers of genre fiction. Edmund Wilson perhaps articulated the attitude of those who favored the novel with literary aspirations over plot-dominated fiction in a 1945 essay in *The New Yorker*: “Who Cares Who Killed Roger Ackroyd?”

However, in the latter part of the twentieth century this picture changed somewhat when the influence of postmodernism on fiction saw the revival of plot as a central element in novels with literary aspirations. A significant factor was that many novelists had studied literature as an academic discipline, and this academic background created a self-conscious awareness of literary styles, conventions, and genres, and their historical development (see HISTORY). Narrative in particular had been subject to particularly powerful academic study. Russian FORMALISM had made significant contributions: Vladimir Propp’s study, *Morphology of the Folktale* (1928), set out to demonstrate that the plots of folktales were variants on the same set of structural elements, and Viktor Shklovsky devised the terms *fabula* and *juzhet* to differentiate between the basic elements of narrative, *fabula* being events or incidents in the order in

which they happened, and *juzhet* the arrangement of those to create a plot or narrative structure to serve literary ends. These ideas were influential on French structuralists—who used as equivalents for the Russian terms *histoire* and *récit* (usually translated as “story” and “discourse”)—with Algirdas Julien Greimas, Roland Barthes, and especially Gérard Genette making significant contributions to what came to be called narratology. American theorists such as Wayne C. Booth and Seymour Chatman also made important contributions to narrative theory (see NARRATIVE; STRUCTURALISM).

Barthes was the most polemical of these theorists, especially in his attitude to realism and plot in the novel. His study *S/Z* (1970) analyzed the realist text and saw it as consisting of lexies or minimal functional units which are governed by a set of codes. Two of these codes related to plot: the “proairetic” code organizes action in order to create suspense while the “hermeneutic” code operates in terms of mysteries or enigmas within the narrative and defers their resolution. Barthes was generally hostile to the REALIST novel which, as he saw it, claimed to represent reality truthfully but in fact constructed, on the basis of a set of codes, what was an inauthentic version of reality rooted in IDEOLOGY. He advocated a break with “readerly” realism in favor of “writerly” experimental fiction which operated independently of such codes. The other structuralist critics were less political than Barthes and tended to confine themselves to how the elements of narrative functioned without drawing political conclusions. Poststructuralist critics were critical of the use of value-laden binary oppositions in narratology: Jacques Derrida questioning the opposition between story and discourse and Barbara Johnson, a former student of the leading American deconstructionist, Paul de Man, destabilizing Barthes’s opposition between the readerly and the writerly text.

The postmodern novel arises out of this critical and theoretical background, since an awareness of narratological theory becomes part of the content of fiction. In contrast to fiction influenced by modernism, the postmodern novel does not as a matter of principle try to discard plot or at the very least reduce it to a minimum. Plot is used, but with the consciousness that it is a fictional device and therefore not to be seen as reflecting reality in any straightforward sense. In much postmodern fiction plot operates in terms of various sets of conventions which are open to PARODY or pastiche (Hutcheon). It can still be integral to the pleasure of the text even if there is skepticism about any claim that it can offer privileged insight into the nature of reality.

It could be argued that some pre-twentieth-century novelists, even if deprived of narratological theory, also used plot with a proto-postmodernist awareness that it constructed the world rather than reflected it, even if they would have resisted the extreme skeptical view that there is a radical discontinuity between the structure of narrative and reality. In her essay, “Notes on Form in Art” (1868), George Eliot stresses that the structure of works of art is imposed by the mind on the world: “And what is structure but a set of relations selected and combined in accordance with the sequence of mental states in the constructor, or with the preconception of a whole which he has inwardly evolved?” (356–57). The passage in chap. 27 of *Middlemarch* in which events are compared to scratches on a pier-glass expresses the same idea: when the light of a candle is held against the scratches they appear to be concentric but examined without such a light being applied “[i]t is demonstrable that the scratches are going everywhere impartially.” This is applied to the ego of any character, but it also must apply to the creation of a complex multi-plot novel.

Trollope sometimes goes further than this and was attacked by Henry James for doing so: “when Trollope suddenly winks at us and reminds us that he is telling us an arbitrary thing, we are startled and shocked in quite the same way as if Macaulay or Motley were to drop the historic mask and intimate that William of Orange was a myth or the Duke of Alva an invention.” For James, it is “suicidal” for a novelist to break the realistic illusion by revealing that the novelist has made up or manipulated the plot to serve his or her own purposes; if the novel is to have credibility it must “relate events that are assumed to be real” (qtd. in Smalley, 536). But for Eliot, Trollope, and many novelists associated with postmodernism, to reveal that plot constructs the world it brings into being and to mock some of the devices that novelists have used does not necessarily undermine fiction’s claim to represent reality. Any representation will be an interpretation, as James was very well aware, even if at the time of writing his essay on Trollope he believed novelists should cover this up. Trollope’s claim to be one of the major realist novelists of the nineteenth century has been unaffected by his occasional playfulness, and novelists associated with postmodernism have been able to produce novels in which plot plays a strong role without undermining their claim to be serious novelists writing literary fiction. Though there have been different attitudes toward plot by novelists, as long as the novel survives as a form it seems certain that it will always have a part to play.

SEE ALSO: Adaptation/Appropriation, Closure, Philosophical Novel, Serialization.

BIBLIOGRAPHY

- Aristotle (1996), *Poetics*, trans. M. Heath.
 Auerbach, E. (1957), *Mimesis*, trans. W.R. Trask.
 Barthes, R. (1990), *S/Z*, trans. R. Miller.
 Booth, W.C. (1961), *Rhetoric of Fiction*.
 Brooks, P. (1984), *Reading for the Plot*.
 Chatman, S.B. (1978), *Story and Discourse*.
 Collins, P. (1980), “Little Dorrit: The Prison and the Critics,” *Times Literary Supplement*, 18 Apr.: 445–46.
 Derrida, J. (1979), “Living On,” in H. Bloom et al., *Deconstruction and Criticism*.
 Eliot, G. (1992), *Selected Critical Writings*.
 Garrett, P. (1980), *Victorian Multiplot Novel*.
 Genette, G. (1980), *Narrative Discourse*, trans. J.E. Lewin.
 Haight, G.S., ed. (1966), *Century of George Eliot Criticism*.
 Hardy, B. (1959), *Novels of George Eliot*.
 Hutcheon, L. (1988), *Poetics of Postmodernism*.
 James, H. (1937), *Art of the Novel*.
 James, H. (1988), *The Art of Criticism*.
 Johnson, B. (1980), *Critical Difference*.
 Prince, G. (1982), *Narratology*.
 Smalley, D., ed. (1969), *Trollope*.
 Southam, B.C., ed. (1976), *Jane Austen*.
 Trollope, A. (1999), *Autobiography*.
 Watt, I. (1963), *Rise of the Novel*.

Point of View see Narrative Perspective; Photography and the Novel

Polyphony see Bakhtin, Mikhail

Pornographic Novel see Censorship

Postcolonialism see Anthropology; Dialect; Eastern and Central Africa; France (20th Century); National Literature; North Africa; Race Theory

Postmodernism see Adaptation/Appropriation; Metafiction; Narrative; Parody/Satire; Plot

Poststructuralism see Structuralism/Poststructuralism

Primitivism see Anthropology; Mythology

Printing see Paper and Print Technology

Proverb see Figurative Language and Cognition

Psychoanalytic Theory

FLORENCE DORE

Psychoanalytic readings of narrative fiction advance the idea that the novel’s most

important feature is its depiction of human subjectivity. The psychoanalysts who have most influenced literary studies believe that reading, whether clinical or literary, reveals the unconscious dimension of the human mind in particular. Scholars of the novel who employ psychoanalytic theory, accordingly, presuppose that the principal function of the novel is to describe the unconscious. Psychoanalytic study of the novel can be said to have originated in 1907 by none other than the founder of psychoanalysis himself, Sigmund Freud (1856–1939), but psychoanalytic theory did not become established as a preferred method for analyzing novels until the mid-1970s, following the introduction of French psychoanalyst Jacques Lacan's (1901–81) theories into literary studies. In what follows, I will explain why Lacan had such a tremendous influence on novel theory. Lacan is known for his revision of the Freudian conception of the unconscious, and this change in psychoanalytic theory turns out to have overlapped, historically and theoretically, with narratologist Roland Barthes's (1915–80) influential revision of the idea of the author. In the 1970s Lacanian theory was taken up by literary scholars interested in Barthes, and in combination, psychoanalytic theory and narratology created a significant conceptual approach to understanding the novel as a genre (see *NOVEL THEORY, 20TH C.*). Two of the three psychoanalytic readings Dorothy Hale identifies as crucial to the development of novel theory—by literature scholars Peter Brooks (“Turning the Screw of Interpretation”) and Shoshana Felman (“Freud’s Masterplot: Questions of Narrative”)—were published in Felman’s 1977 collection, *Literature and Psychoanalysis*. Of these early psychoanalytic readings influenced by Lacan, I will focus on Brooks’s to demonstrate the particular version of psychoanalytic theory that would qualify it as a movement in novel theory.

In their elaboration of theories about the human mind over the course of the twentieth century, Freud and Lacan were above all concerned with the clinical redress of neurosis, but each saw the analysis of novels as relevant to this project because both saw the novel as a privileged site for the analysis of the human mind. Freud wrote two studies of novels, “Delusions and Dreams in Jensen’s *Gradiva*” (1907) and “Dostoevsky and Parricide” (1928); and although between 1975 and 1976 Lacan gave a yearlong seminar on James Joyce’s novels—published posthumously as *Le Sinthome* (2005, *The Symptom*)—he published just one novel analysis during his life, the 1965 “Homage to Marguerite Duras, on *Le Ravissement de Lol V. Stein*.” In each of these readings, we can find versions of the famous declaration by Freud in his reading of Dostoyevsky’s *Brat’ya Karamazovy* (1880, *The Brothers Karamazov*): “Before the problem of the creative artist, the analysis must, alas, lay down its arms” (“Dostoevsky and Parricide,” 177). Lacan referred to his analysis as “superfluous” to Duras’s novel (1998a, 141), and in relation to his reading of Joyce noted his “embarrassment where art—an element in which Freud did not bathe without mishap—is concerned” (1978, ix). Reading novels seems to have clarified for both analysts that the novel’s purpose was to describe the human mind, and in each case, the analyst saw himself as striving to achieve with theory what the novelist achieves with writing. These disavowals themselves may seem superfluous, until we consider them from the point of view of novel theory. Freud and Lacan study the human mind, but their statements of insufficiency where novel writers are concerned also implicitly theorize the novel: if novelists are the superior analysts, then novels reveal what psychoanalysis reveals. Although Freud and Lacan understood their readings of novels to be advancing their ideas about human subjectivity,

they were, as importantly, contributing to the definition of the novel as principally concerned with those ideas.

THE NOVEL AND THE UNCONSCIOUS

Hale describes psychoanalytic theory not as a clinical method but instead as a branch of novel theory in its own right. In her assessment, psychoanalytic theory furthered STRUCTURALIST and poststructuralist theories of the novel; she demonstrates that psychoanalytic theorists drew from and advanced the idea that novels depict, engage, and create what is in effect a Lacanian model of human subjectivity. As she puts it, poststructuralists implicitly theorize the novel as offering a “partial and incomplete” (197) subject, and the influential psychoanalytic studies of the novel in the 1970s take this psychological model as the basis for their readings. This “partial and incomplete” subject Hale identifies turns out to distinguish Lacanian psychoanalytic theory from its Freudian origins, and Lacan’s revision altered the way novels are read. This change can be gleaned in the contrast between Freud’s reading of the unconscious in Wilhelm Jensen’s novel *Gradiva* (1903) and Lacan’s in *The Ravishment of Lol V. Stein* (1964). Freud’s “Delusions and Dreams in Jensen’s *Gradiva*” (1907) suggests that the novel’s main character, Norbert Hanold, will find what we might understand as a kind of psychological coherence—what Freud understood as a reasonable view of himself and the world—once his delusion is cured. In particular, Norbert is delusional, Freud says, because he has repressed erotic feelings for his childhood friend Zoe Bertgang; as a result, he can see Zoe only as a statue come to life. For Freud, the image of Pompeii in the novel symbolizes the “disappearance of the past combined with its preservation”

(1907, 45) in Norbert’s mind, and thus perfectly illustrates the theory of repression. Freud’s reading of the novel is based on the postulation that Norbert’s unconscious can be plumbed, and it presumes that delusions can be alleviated. In Freud’s reading, then, the novel portrays a coherent subject who is temporarily fractured, and in the end restored to himself. In his later analysis of *Brat’ya Karamazovy*, which he reads as a “confession” (1928, 190), Freud similarly advances this kind of subjective coherence in his assessment of the novel as evidence of the author’s masochism—a symptom of a resolvable disturbance in Dostoevsky’s unconscious (1928, 178).

By 1977, Brooks and Felman would explicitly oppose this kind of psychoanalytic reading, and advocate instead for what Brooks called a “psychoanalytic criticism of the text itself” (299). The kind of psychoanalytic reading these critics envisioned for novels entailed recognition of an unconscious dimension, but in narrative itself, and both declare the insufficiency of readings that simply extract repressed material from the unconscious of authors, readers, or characters. Brooks offers a brief analysis of Charles Dickens’s *Great Expectations* (1861) in which he identifies a broad narrative unconscious, one that explicitly replaces an idea of the unconscious in a discrete subject. Brooks’s essay compares the Barthean idea that narrative is driven by a desire for meaning at ends to the Freudian death drive, and in making this comparison he theorizes that plot is a force that slows progress to those ends. One basic feature of plot, he observes, is repetition, and Brooks understands narrative repetition as a “binding” (289) of disparate temporal moments that resembles the repetition caused by trauma. In *Great Expectations*, he argues, a textual desire for the end moves through repetitions of what he describes as the “primal scene” of Pip’s “terrifying” encounter with Magwitch

(1977, 298). In Freud's conception of the primal scene (1918, 1925, "From the History of an Infantile Neurosis," *Complete Works* 17), the analysand's delusional fear of wolves is a symptom of his repressed sexual identifications, but for Brooks the primal scene is an effect of the structural operations that create both narrative and life. Brooks does identify the primal scene as involving a discrete subject, Pip, but here the primal scene is simply an occasion for the discharge of an "energy" (298) that precedes and generates the character, Pip. To perform the new, preferred kind of psychoanalytic criticism in a reading of Dickens's novel, according to Brooks, the kind that avoids finding an unconscious in characters, readers, or authors, one has to "show how the energy released in [*Great Expectations*] by its liminary 'primal scene' . . . is subsequently bound in a number of desired but unsatisfactory ways" (298). For Brooks as for Freud, repetition is a form of mastery, but in the new kind of psychoanalytic reading, it must not be understood as the character's attempt to master trauma. In accordance with Brooks' theoretical refusal of coherent subjectivity, he sees repetition as instead a mastery belonging to a disembodied, abstract agent—what both he and Felman understand as "text."

A PSYCHOANALYTIC NARRATOLOGY

Brooks argued that the "possibility of a psychoanalytic criticism" would now rely on "the superimposition of the model of the functioning of the mental apparatus on the functioning of the text" (300). But why did he think that psychoanalytic criticism would be impossible without his intervention? What has happened to invalidate psychoanalytic readings of novels that discover the unconscious in characters and authors? One reason psychoanalytic readings no lon-

ger seemed valid to Brooks is that he was also influenced by one of the inventors of narrative theory, the structuralist Roland Barthes. In *S/Z*, his 1970 reading of Honoré de Balzac's novel *Sarrasine* (1830), Barthes redefines the novel as text, and evokes a domain of signification that resembles the unconscious Brooks sees as preceding authors, characters, and readers. Hale explains that structuralist narratology, the "science" of reading narrative that Barthes was largely responsible for inventing, "builds itself around" the "linguistic law" (193) identified by the Swiss linguist Ferdinand de Saussure (1857–1913), and she clarifies that narratology emerged as "the logical next step in the Saussurian project" (189). For Barthes, indeed, it is the structural operations of signification defined by Saussure that allow for his definition of the novel as a "galaxy of signifiers" (1974, 5), and we can find traces of this emphasis on linguistic law in Brooks's reading of *Great Expectations*. Among the repetitions Brooks identifies in Dickens's novel, significantly, is the palindrome in the name Pip: "Each of Pip's choices . . . while consciously life-furthering, forward oriented, in fact leads back, to the insoluble question of origins, to the palindrome of his name" (298). Brooks sees the repetition of psychoanalysis as emanating from the same circularity that snares the character's "consciously life-furthering" choices, those forward movements that actually lead backward. This repetition, for Brooks, is an operation generated by the laws of language identified by Saussure—operations that can be identified even at the level of the name, Pip. For Barthes, moreover, the new structuralist idea of the novel as text entails a recognition of the author as similarly a collection of signifiers—as in this sense "dead." Writing, he argues, is "a neutral, composite, oblique space where our subject slips away, the negative where all identity is lost, starting with the very identity

of the body writing" (1974, 142). What Barthes called the "death of the author," we might say, can be understood as the birth of language, and it turns out to have coincided with the death of the coherent Freudian subject. Brooks perceived older modes of psychoanalytic criticism as no longer tenable because he embraced these ideas.

The advent of what I will call psychoanalytic narratology, the theoretical model of psychoanalytic reading I have been tracing in Brooks, came from an apparent perception among literary scholars that Lacan and Barthes were theorizing the same thing. And, in point of fact, psychoanalysis was revolutionized by the same Saussurean ideas that fueled the creation of narratology. It was the theoretical compatibility of these two projects that led to the establishment of psychoanalytic theory as a preferred mode for understanding the novel. Like Barthes, Lacan was heir to Saussure's ideas, but if for the narratologist *LINGUISTICS* offered a way to reimagine the author, for Lacan it provided the theoretical basis for a sweeping redefinition of the human subject. And Brooks's narratological reading of linguistic repetition in the novel is clearly indebted to Lacan, who himself similarly emphasized puns in his reading of Joyce's *Finnegans Wake* (2005). We can see the compatibility of these approaches in a comparison of "Death of the Author," Barthes's landmark essay of 1968, and Lacan's "Signification of the Phallus," first given as a lecture ten years earlier. Barthes's theory of the text is rooted in the belief that language creates the author—not the other way around—and the Lacanian conception of the incoherent subject relies on the same reversal. As for Barthes, "it is language that speaks, not the author" (1974, 143), so for Lacan, it is "not only man who speaks, but in man and through man that it [*ça*] speaks" (2007, 578). For both of these theorists subjectivity emanates from language, and for Lacan this meant that the

unconscious is an aspect of the subject's irresolvably alienated, incoherent condition.

Turning now to Lacan's analysis of Duras's novel, we can see how his theoretical model of subjectivity leads to the kind of novelistic reading Brooks preferred. Cautioning against what he terms the analytic "pedantry" of postulating an authorial unconscious (1998a, "Homage," 138), Lacan finds in Duras's novel instead the linguistic structure that generates all subjects—Duras, his reader, her reader, himself. Because Lacan understands all of these subjects to exist in a common linguistic realm, his reading identifies not repressed material in the unconscious of a single subject, but the laws structuring all. In his analysis of Lol's dress, this perception leads Lacan to figure his own reading as a "thread" (1998a, 139) that will "unravel" something in the novel, and to suggest that he pulls this "thread" from a "knot" involving the reader (*ibid.*). Because his reading of the dress is a "thread," and because readers are implicated in the "knot" he unravels, all subjects relevant to his reading can be understood to inhabit the same quasi-fictional dimension as Lol's dress. Quite unlike Pompeii, Freud's image of burial that makes of the unconscious a depth, the dress is for Lacan a cover into which analysis itself collapses, and in his reading depth is altogether eradicated. Lacan asks: "What is to be said about that evening, Lol, in all your passion of nineteen years, so taken with your dress which wore your nakedness, giving it brilliance?" (*ibid.*). Here, in the reversal—the dress wears the naked body instead of the other way around—Lacan intimates the idea of subjectivity that we might identify as the most basic feature of psychoanalytic reading after Saussure. In Freud's reading, the unveiling of Norbert's unconscious undoes his delusion, and he thus returns to a coherent version of himself. In Lacan's reading, characters emerge as instead constitutively defined by that which seems to cover their

inmost depths—and the idea that such a return to coherence might be possible is the delusion. For psychoanalytic critics who follow in Lacan's wake, the novel's function is to reveal this fracture, to identify in the novel the same linguistic operations that generate human subjects. In the conception of the novel that Lacan and Barthes inaugurated, authors emerge as beings who are, if dead, somehow also especially attuned to the operations of language, and therefore, it seems, to humanity itself.

BIBLIOGRAPHY

- Barthes, R. (1974), *S/Z*, trans. R. Miller.
- Barthes, R. (1977), "Death of the Author," in *Image, Music, Text*.
- Brooks, P. (1977), "Turning the Screw of Interpretation," in *Literature and Psychoanalysis*, ed. S. Felman.
- Felman, S., ed. (1977; 1982), *Literature and Psychoanalysis*.
- Freud, S. (1907 German [1917 English]), "Delusions and Dreams in Jensen's *Gradiva*," in *Standard Edition of the Complete Psychological Works of Sigmund Freud*, trans. and ed. J. Strachey, vol. 9.
- Freud, S. (1908 German [1925 English]), "Creative Writers and Day-Dreaming," in *Standard Edition of the Complete Psychological Works of Sigmund Freud*, trans. and ed. J. Strachey, vol. 9.
- Freud, S. (1928 German [1929 English]), "Dostoevsky and Parricide," in *Standard Edition of the Complete Psychological Works of Sigmund Freud*, trans. and ed. J. Strachey, vol. 21.
- Girard, R. (1965), *Deceit, Desire, and the Novel*.
- Hale, D.J., ed. (2006), *Novel*.
- Irwin, J.T. (1975), *Doubling and Incest/Repetition and Revenge*.
- Jameson, F. (1981), *Political Unconscious*.
- Jones, E. (1949), *Hamlet and Oedipus*.
- Lacan, J. (1978), *Four Fundamental Concepts of Psycho-Analysis*, ed. J.-A. Miller, trans. Alan Sheridan.
- Lacan, J. (1998), "Homage to Marguerite Duras, on *Le Ravissement de Lol V. Stein*," in *Critical Essays on Marguerite Duras*, ed. B.L. Knapp, trans. P. Connor.
- Lacan, J. (1998), *The Seminar of Jacques Lacan: Book XX: Encore 1972–1973*, trans. B. Fink.
- Lacan, J. (2005), *Seminaire XXIII*, ed. J.-A. Miller.
- Lacan, J. (2007), "Signification of the Phallus," in *Écrits*, trans. B. Fink.
- Lydon, M. (1998), "The Forgetfulness of Memory," *Contemporary Literature* 29(3):351–68.

Psychological Novel

ATHENA VRETTOS

The psychological novel is traditionally understood as a genre of prose fiction that focuses intensively on the interior life of characters, representing their subjective thoughts, feelings, memories, and desires. While in its broadest usage the term psychological novel can refer to any work of narrative fiction with a strong emphasis on complex characterization, it has been associated specifically with literary movements such as nineteenth-century psychological REALISM, twentieth-century literary MODERNISM, and the "stream-of-consciousness" novel, and with narrative techniques such as free indirect DISCOURSE and the interior monologue. The term psychological novel also refers to works of prose fiction that draw upon contemporary psychological theories (see PSYCHOANALYTIC), and recent studies of the psychological novel have focused on historical convergences between the two fields.

ORIGINS AND DEVELOPMENT OF THE GENRE

Because the term is so flexible, there is little consensus about the origins of the psychological novel. Some trace the GENRE back to the earliest origins of the novel itself; others cite influences ranging from Miguel de Cervantes Saavedra's *Don Quixote* (1605, 1615) to genres such as the historical ROMANCE, the sentimental novel, the EPISTOLARY novel, and

the spiritual autobiography (see LIFE WRITING). Some of these diverse influences can be seen in psychological novels from the first half of the nineteenth century, including James Hogg's *The Private Memoirs and Confessions of a Justified Sinner* (1824), which makes extended use of the doppelgänger, or alter ego, and Stendhal's realist BILDUNGSROMAN *Le Rouge et le Noir* (1830, *Scarlet and Black*).

Regardless of its origins, by the second half of the nineteenth century the psychological novel was flourishing. Fyodor Dostoyevsky's novels constitute particularly influential examples of the genre; his intense psychological portrayals of suffering and despair were precursors to twentieth-century existentialism, and his fictional legacy extends to authors as diverse as Marcel Proust, Albert Camus, Jean-Paul Sartre, Franz Kafka, James Joyce, Virginia Woolf, and William Faulkner. Leo Tolstoy was also crucial in the development of the psychological novel. His detailed observations of the inner lives of his characters had an impact on both nineteenth- and twentieth-century practitioners of the genre. Anticipating modernist portrayals of subjectivity, both Tolstoy and Dostoyevsky embedded internal monologues—direct representations or thought-quotations from the mind of a character—in the omniscient NARRATIVE STRUCTURE of their fiction.

Tolstoy's intimate and psychologically complex characterizations were echoed in a wide range of nineteenth-century novels that not only developed narrative techniques for the representation of human interiority, but also reflected and contributed to psychological debates of the period. As recent critics have demonstrated, nineteenth-century psychological novels explored new theories of emotion, attention, habit, selfhood, memory, trauma, consciousness, and the unconscious. In particular, authors such as George Eliot and

Henry James were central figures in the growth of the psychological novel and the rise of psychological realism in Britain and America. Both authors drew upon their knowledge of the rapidly developing field of psychology to explore the inner lives and unspoken motives of characters in works such as Eliot's *Middlemarch* (1871–72) and James's *Portrait of a Lady* (1881). Their close family connections with two of the most respected psychologists of the period—George Henry Lewes (1817–78) was unofficially married to George Eliot, and William James (1842–1910) was Henry James's brother—further shaped Eliot's and James's engagements with contemporary psychological theories. Tracing the psychology of characters through the use of free indirect discourse and omniscient third-person narration, their narratives move subtly in and out of the minds of different characters to convey their feelings, thoughts, and perspectives, and to suggest the intricate relationship between mind and body, internal motivations, and external actions. In the process, Eliot and James (like many of their contemporaries) put into practice some of the principles of nineteenth-century physiological psychology, which emphasized the material basis of the mind. James's later novels are characterized by experimentation with points of view, interior monologues, and unreliable narrators. In works such as *The Turn of the Screw* (1898), *The Ambassadors* (1903), and *The Golden Bowl* (1904), James's indirect and often elusive prose style conveys what Sharon Cameron has called the “omnipresence of consciousness” (1989, *Thinking in Henry James*, 5). These works exemplify not only James's intense psychological focus, but also his experimentation with narrative techniques that link him to both the discourse of late Victorian psychology and the developments of modernism.

James's later writings emerged in the context of a fin-de-siècle ethos that offered challenges to traditional values and literary forms, as well as a rapidly changing psychological and literary landscape. This period included the rise of the DECADENT movement, which championed both sexual and aesthetic experimentation, and the French Symbolist movement, which challenged the capacity of conventional language or realist literature to convey the sensation of consciousness. Instead, the Symbolists sought a condensed, highly symbolic language that emphasized images, dreams, and the imagination. The symbolist experimentations of such writers as Stéphane Mallarmé and Édouard Dujardin were important inspirations for Joyce and other modernist writers. Another contributor to this experimental period, the Norwegian author Knut Hamsun, published psychological novels such as *Sult* (1890, *Hunger*) and *Pan* (1894) that depict characters suffering from suicidal isolation and deep skepticism. Employing narrative techniques such as flashbacks and fragmentation, Hamsun's novels were vital influences on modern continental fiction.

CRITICAL EMERGENCE OF THE GENRE

Although it did not become a standard part of the critical lexicon for identifying fictional genres until the end of the nineteenth century, the term “psychological novel” first entered the English language as a literary insult when Eliot, in 1855, criticized “‘psychological’ novels . . . where life seems made up of talking and journalizing” (“Charles Kingsley’s Westward Ho!”). By the end of the century the term was used to describe Eliot’s own fiction, and it appeared regularly in encyclopedias and critical histories of the English novel, with whole chapters devoted to the genre. In

these early definitions of the psychological novel authors such as Charlotte Brontë, Elizabeth Gaskell, and George Meredith were frequently included along with Eliot and James, as was the popular French novelist and critic Paul Bourget, whose influential *Essais de psychologie contemporaine* (1883, *Essays in Contemporary Psychology*) viewed literature and psychology as inextricably linked. However, an entry on the psychological novel from *The New International Encyclopedia* of 1903 declared, somewhat prematurely, that “for the time being, psychology seemed to have run its course in English fiction” (209).

FIN-DE-SIÈCLE PSYCHOLOGY AND THE EXPERIMENTS OF MODERNISM

While some styles of psychological realism had, indeed, begun to decline in popularity by the early twentieth century, the psychological novel was far from having “run its course.” In a 1907 lecture later published as “Creative Writers and Day-Dreaming,” Sigmund Freud (1856–1939) identified the psychological novel as a distinct genre in which “the hero—is described from within. The author sits inside his mind, as it were, and looks at the other characters from outside. The psychological novel no doubt owes its special nature to the inclination of the modern writer to split up his ego, by self-observation, into many” (150). Drawing upon psychological theories of memory and consciousness, the psychological novel eventually became central to the development of literary modernism. The emergence of the memory sciences in the latter half of the nineteenth century, including French philosopher and psychologist Henri Bergson’s (1859–1941) identification of *mémoire pure* (i.e., “pure memories” that are experienced involuntarily rather than

intentionally recollected), coincided with a steadily increasing literary interest in portraying the unpredictable vagaries of memory and consciousness that had begun in the final decades of the nineteenth century. William James's analysis of "desultory memory" and Lewes's coinage of the term "stream of consciousness" corresponded to literary attempts to replicate the experience of consciousness—to convey its paradoxical combination of continuity and change—through language. Early twentieth-century writers such as Marcel Proust, James Joyce, Dorothy Richardson, William Faulkner, and Virginia Woolf fused their experiments in literary form with these new understandings of the mind. For example, in the multi-volume *À la recherche du temps perdu* (1913–27, *Remembrance of Things Past*), Proust explores "pure" or involuntary memory—including, most famously, the role of the senses in triggering memories. Early twentieth-century psychological novels were frequently narrated from within the minds of individual characters, employing first-person narration combined with interior monologue to trace the intrusions of fugitive memories, thoughts, associations, and perceptions in the experience of consciousness. In addition to Proust's semi-autobiographical fictional memoir, Richardson's multi-volume *Pilgrimage* (1915–38), Joyce's *Portrait of the Artist as a Young Man* (1914–15) and *Ulysses* (1922), Woolf's *Mrs. Dalloway* (1925) and *To the Lighthouse* (1927), and Faulkner's *The Sound and the Fury* (1929) all experiment with portraying the evanescence of thought, thereby developing the literary form that author May Sinclair first described in a 1918 review of Richardson's fiction as "a stream of consciousness, going on and on" ("Novels of Dorothy Richardson"). Although these literary attempts to reproduce the experience of consciousness drew most directly upon the theories of Bergson (1896,

Matter and Memory) and William James (1890, *Principles of Psychology*), they also coincided with (and, in the later works, drew inspiration from) Freud's revolutionary theories of selfhood and the unconscious.

Although Proust, Richardson, and Joyce all published their groundbreaking narratives in the years between 1913 and 1915, Joyce's *Portrait* offered the most radical departure from previous fictional forms. Immersing the reader in the fragmented thoughts and memories of a child, Joyce's opening language provides no explanatory critical framework, no traditional narrative frame, no recognizable entry point—only the abrupt immediacy of mental perceptions and sensations (see CLOSURE). Even more than the publication of *Portrait*, however, the appearance of Joyce's *Ulysses* in 1922 reconceived the psychological novel through its revolutionary linguistic rendering of the mind (see LINGUISTICS). Tracing the "labyrinth of consciousness" through three central characters, and transpiring within the period of a single day, *Ulysses* has been hailed as "the fountain-head of the modern psychological novel" (L. Edel, 1972, *The Modern Psychological Novel*, 2nd ed., 75). If *Ulysses* offers an immersion in the playful fluidity of waking consciousness, Joyce's notoriously elusive final novel, *Finnegans Wake* (1939), probes the nocturnal, unconscious mind, weaving a dense linguistic tapestry of dream associations and allusions, puns and portmanteau words that assault the boundaries of the psychological novel's coherence and form.

CRITICAL AND POSTMODERN REACTIONS

May Sinclair predicted that such "stream-of-consciousness" narratives would constitute the future of the novel, and indeed this

version of the psychological novel, which also has been termed the “novel of introspection,” “the subjective novel,” and, in France, the “modern analytic novel,” became one of the defining experiments of literary modernism. Sinclair declared that the twentieth-century novelist “should not write about the emotions and the thoughts of his characters. The words he uses must be the thoughts—be the emotions” (“The Future of the Novel”). Leon Edel later described this as the difference between subjective states being “reported” and being “rendered” (19).

However, over the course of the twentieth century, there were numerous critiques of the psychological novel, the most famous of which is MARXIST literary critic Georg LUKÁCS'S claim that the genre sought “to achieve an idealist and reactionary separation of the psychological from the objective determinants of social life” (1983, *Historical Novel*, 240). Lukács observed that as a result of this separation, “all social criticism disappears.” Others have complained that the psychological novel is overly intellectual, devoid of action, or lacking in subtlety. Carl Jung (1875–1961) objected that the psychological novel “does too much of the work for the reader. Its psychology is self contained and explained by the author,” leaving nothing for the psychologist to interpret (1930, “Psychology and Literature”). More appreciative critical studies, especially of the modernist psychological novel, flourished in the 1950s and 1960s and helped to define the genre (Edel, Friedman).

Although early twentieth-century writers and critics often framed modernist versions of the psychological novel in opposition to their nineteenth-century counterparts, more recent critics have reevaluated this relationship to find a wide-ranging and complex narrative engagement with contemporary psychological issues in both periods. Recent critical approaches to the

psychological novel range from rigorous narratological analyses of the literary presentation of consciousness (Cohn) to historical and theoretical studies of the close relationship between fiction, psychology, and neurology in different eras (Bourne Taylor; Davis; Matus; Ryan; Shuttleworth; Stiles). This latter approach, in particular, has generated an array of critical analyses of the relationship between fiction and psychology, especially in the nineteenth century. Sally Shuttleworth, for example, has demonstrated the extensive use of phrenology, physiognomy, associationist psychology, and the rhetoric of the self-help movement in Charlotte Brontë's fiction, and has explored the intersecting embodiment of memory in Victorian psychology and the novel. Jill Matus has explored early theories of trauma in the nineteenth century, especially in the work of George Eliot and Charles Dickens. Other studies of the intersections between psychology and the psychological novel have ranged from detailed studies of individual authors, such as Nancy Paxton's examination of the dialogue between Eliot and Herbert Spencer on issues of psychology, evolution, and gender, to broad studies such as Nicholas Dames's exploration of forgetting, nostalgia, and theories of memory in *Amnesiac Selves* (2001), and his analysis of the relationship between reading, literary form, and the nineteenth-century neural sciences in *The Physiology of the Novel* (2007).

By the middle of the twentieth century, the central role of the psychological novel in literary modernism had inspired a range of postmodern reactions that challenged both the form of the “stream-of-consciousness” narrative and its predominant focus on characters' subjective, psychological experiences. Though notoriously slippery to define, postmodernism's often playful meta-fictional pastiches of prior literary forms

frequently include the use of deliberately superficial characters—characters that are intentionally flat, ghostly, or cartoon-like—in part to interrogate the conventions and assumptions of the modern psychological novel. Thomas Pynchon's *The Crying of Lot 49* (1966) and *Gravity's Rainbow* (1973) and Don DeLillo's *White Noise* (1985) are examples of this postmodern trend. There are still, however, numerous examples of the psychological novel in contemporary fiction, as we see in Mark Haddon's *The Curious Incident of the Dog in the Night-time* (2003), which merges the psychological novel with both the DETECTIVE novel and the diary to portray the world through the eyes and mind of an autistic teenager. Such fusions of the psychological novel with other genres suggests that contemporary authors are finding creative new directions for the future of the psychological novel and should make critics wary of prematurely pronouncing its decline at this new turn of the century.

SEE ALSO: Cognitive Theory, Mythology, Time.

BIBLIOGRAPHY

- Bourne Taylor, J. (1988), *In the Secret Theatre of Home*.
- Campbell, M. and S. Shuttleworth, eds. (2000), *Memory and Memorials, 1789–1914*.
- Cohn, D. (1978), *Transparent Minds*.
- Davis, M. (2006), *George Eliot and Nineteenth-Century Psychology*.
- Matus, J. (2008), "Historicizing Trauma," *Victorian Literature and Culture* 36:59–78.
- Paxton, N. (1991), *George Eliot and Herbert Spencer*.
- Ryan, J. (1991), *Vanishing Subject*.
- Shuttleworth, S. (1996), *Charlotte Brontë and Victorian Psychology*.
- Shuttleworth, S. and J. Bourne Taylor, eds. (1998), *Embodied Selves*.
- Stiles, A., ed. (2007), *Neurology and Literature, 1860–1920*.

Purana *see* Ancient Narratives of South Asia

Publishing

DAVID FINKELSTEIN

The age of print and publishing begins with the development of the printing press by Johannes Gutenberg (fl. 1390–1468) in Mainz, Germany in about 1450. Adapting techniques and equipment used in agricultural settings (e.g., the grape press), by 1456 Gutenberg had begun producing multiple copies of texts in printed form, including a 42-line Bible, some grammatical works, a papal indulgence, and at least one broadside astrological calendar. Within a few years of its first use, this new technology for making books had spread throughout Europe (see PAPER AND PRINT).

Printing proved a lucrative business: books became valuable commodities, requiring the development of a sophisticated network of production, sales, and distribution. The late medieval book trade had centered on local markets and needs. The age of humanism, an increase in literacy in the 1600s, and the expansion of literary culture to embrace literature, however, saw printing and publishing expand to become international in scope. From the 1470s, printing spread outward from Germany, appearing in Buda in Hungary in 1473, Cracow in Poland, and Prague in Bohemia within the next two or three years. In Spain book publishing arrived in Valencia in 1473, then Madrid in 1499. Printing appeared in Lisbon in 1489, Scandinavia in 1483, Constantinople in 1488, Salonika in 1515. In England, William Caxton (ca. 1422–91) set up a printing press at Westminster Abbey in 1476, and in Scotland the first book was printed in Edinburgh in 1508 (Finkelstein and McCleery, 55).

NINETEENTH-CENTURY INNOVATION

Until the early 1800s, the general format for the production of books in Western Europe followed basic, established business patterns. Early printers combined the roles of printers, publishers, and booksellers in one, buying rights to works, then printing and profiting from the results. As trade increased to include international links, these roles began to be separated, and by the early nineteenth century, Western European publishers had begun devolving production work to printers, illustrators, and other related production specialists. The technological innovations accompanying the Industrial Revolution in nineteenth-century Britain enabled it to become a world leader in book production and dissemination, producing books faster and less expensively than its continental rivals.

The introduction of the steam-powered press in London in 1814, a Koenig press imported from Germany by *The Times* newspaper for its daily printing work, sparked its integration into general publishing activity. This, along with advances in mechanical typesetting and setting, stereotyping, and innovations in the reproduction of illustration, led to less costly and faster-produced books (see ILLUSTRATED NOVEL, TYPOGRAPHY). Industrialized societies across the world saw the need for a better-educated, certainly literate, workforce to service new processes and occupations. In Britain the Education Acts of the 1870s cemented the growth of literacy so that by the turn of the twentieth century the vast majority of the population constituted the market for books (Feather). Book publishing became a boom industry.

Such industrialization of printing and publishing systems went in partnership with the general industrialization of business

across Britain and then Western Europe. Mechanization increased market potential and forced publishers to adapt quickly to survive. As Robert Escarpit notes, “faced with a developing market, printing and bookselling underwent a major change, as nascent capitalist industry took charge of the book. The publisher appeared as the responsible entrepreneur relegating the printer and bookseller to a minor role. As a side effect, the literary profession began to organize” (22–23).

NEW BUSINESS MODELS

British printers and publishers were among the first to adopt new business models to match new technological opportunities, turning themselves into large, predominantly family-run corporate enterprises. These included Macmillan, William Blackwood & Sons, John Murray, William Chambers, Smith, Elder & Co., and William Longman, almost all founded within the first twenty years of the nineteenth century. Their national dominance would translate into international success as they expanded into the colonial markets that emerged from the 1870s onward. Such success encouraged the free flow of books beyond national borders. Britain and its empire, it can be argued, was the first transnational, globalized economy to emerge as a beneficiary of the advances supported by industrialization. From the 1830s onward Britain’s innovations would be copied in other European states and further abroad, with a resulting sea change in trade practices by the mid-nineteenth century. In tandem with such changes an increasingly literate reading audience demanded new products to read, allowing profitable firms to expand and dominate local and national markets. Among the most important to develop in Europe and the U.S.

were Hachette in France; Samuel Fischer and Bernhard Tauchnitz in Germany; George Putnam, Houghton Mifflin, and Harpers & Co. in the U.S.; Gyldendals in Denmark; and Norstedts and Albert Bonnier in Sweden (Gedin, 34–39; Hall, 44; Chartier).

The rise of the novel as a cultural signifier during the nineteenth century was closely linked to such changes. The number of titles produced by these internationally positioned publishers rose dramatically, in line with a growth in readership and the establishment of well-provisioned commercial bookshops, circulating library networks such as the renowned Mudie's Circulating Library, public libraries, and retail distribution outlets such as the British railway book-stall networks founded by W. H. Smith in 1842, John Menzies in 1857, and the French network founded by Hachette in 1853 (see LIBRARIES). It is estimated that the number of general book titles published in Britain per decade rose roughly from 14,550 in the 1800s to around 60,812 in the 1890s; at the peak of book production, fiction accounted for about a third of the titles listed in contemporary book-trade journals (Eliot, 294, 299).

Popular titles could achieve substantial sales in their own right. While a bestselling novel of the 1800s might have had a combined print run and sales of up to 12,000, by the 1890s popular titles were achieving print runs and sales of 100,000 in various editions within the first five years of publication (Eliot, 294). Popular demand for fiction was met in various ways, including SERIALIZATION in high-quality monthlies, "illustrated" magazines, mass-circulation weeklies, and through syndication in metropolitan, regional, and provincial newspapers. Thus in newspaper and periodical spaces, readers would encounter poetry and fiction in conjunction with fashion, news, opinion, and reportage, a *mélange* that also engaged and satisfied general reading expectations. Equally, readership interest would be pi-

qued and encouraged by the increasing use of advertising in popular journals and in the end pages of novels and other publications.

As the nineteenth century progressed, more and more titles were published and publishers' niche subjects grew in diversity. In Britain roughly one hundred new titles were published each year up to 1750, growing to six hundred by 1825, and to six thousand by the beginning of the twentieth century—at its close new titles topped the hundred thousand mark (Feather). The century also saw experiments with new formats such as the popular series, large quantities of books published at low prices and intended for mass consumption. These were often a means of enabling access to novels that had first appeared in expensive formats: for much of the century, novels were first published in three-volume form, to be accessed mainly through the commercial circulating libraries that dominated book distribution throughout the century. A year after their initial appearance many of these would then be reprinted in the cheaper one-volume form, thus establishing a precedent that still holds true in current book-publishing patterns.

European print communication practices as reconfigured during this period were subsequently exported to other countries, with colonial powers in particular establishing print networks in overseas possessions so as to service didactic and governing needs. At the same time, such international print production and communication systems also proved susceptible to hierarchies and divisions, part of a "distinctive, determinate set of interlocking, often contradicting practices" (Feltes, 17). Literary value, COPYRIGHT, and the commercial worth of books increasingly became linked to commercial potential, creating a niche for intermediaries such as literary agents to filter and promote the "raw" material needed by publishers.

INTELLECTUAL PROPERTY RIGHTS

Integral to business success was the management of rights in the texts produced. In 1709, the first U.K. Copyright Act created a template soon adopted in other countries, enshrining in law the principle that copyright in a work belonged to its author. This permitted some authors to demand greater sums when selling their works to publishers. The publication of books on subscription, a popular method of financing publication before 1709, was one method of copyright management, but by the mid-nineteenth century had been superseded generally by contracts offering outright sale of copyright to the publisher. The professionalization of AUTHORSHIP throughout the nineteenth century, which gained impetus as further outlets for literary work opened up, saw contractual arrangements changing, with most publishing contracts by the end of the century offering writers sliding-scale royalty figures based on numbers of copies sold.

However, while copyright could be enforced within the one country, it did not have any international status. For British and English-language publishing, this resulted in a voracious and unchecked pirating of works in the U.S. and elsewhere that drew the ire of many authors and their representatives. Not until the Berne Convention of 1886 was approved did international copyright protection become universal, later strengthened by the Universal Copyright Convention of 1952. In the U.K., the Copyright Act of 1911 incorporated references to non-print media by adding clauses guaranteeing the protection of copyright to visual and oral media. This in turn provided a secure basis both for the development of work in such media and for the adaptation of an author's work for non-print sources (Finkelstein and McCleery, 62–63).

INTO THE TWENTIETH CENTURY

Such changes in nineteenth-century legal statutes, technology, business practices, and social formations created circumstances by which printed texts, manufactured more quickly and at increasingly cheaper costs, could be sold to more people, generating larger profits for publishers and allowing individual authors to claim more profits from work produced. Much remained static during the first half of the twentieth century, though the introduction in Britain of inexpensive Penguin paperback books by Allen Lane (1902–70) in 1935 was a key moment in the history of book production. Penguin books drew on previous experiments in paperback production, paying close attention to visually rich covers, marketing and selling in nonconventional outlets such as retail shops and direct sales, and offering new, original titles in paperback rather than hardback. Their success opened the way for a mass-market explosion in paperback publishing: in the U.S., for example, Robert de Graaf founded Pocket Books in 1939, marketing populist titles with bright covers for a mass readership, while in Britain Penguin faced competition from Pan Books and Panther, established after WWII to tap similar mass-market interest.

Such developments were part of a shift in book publishing to a position strongly dependent on mass market literary taste. As Richard Ohmann comments, “publishing was the last culture industry to attain modernity. Not until after World War II did it become part of the large corporate sector, and adopt the practices of publicity and marketing characteristic of monopoly capital” (22). To increase economies of scale, from the 1960s onward publishing houses merged with other media operators to form large, often trans-national conglomerates. The general traits and practices of family-run and family-focused publishing houses

began to be replaced by international corporate organizations that joined together different media areas (books, television, film, music) under one umbrella.

But publishing in the twentieth century also saw exponential rises in global book production. It has been estimated that in 1850 annual world book production totaled 50,000; in 1952 it had risen to 250,000 titles; by 1963 it equaled 400,000; in 1970, 521,000 (Escarpit, 57–58; Milner, 70; Zaid, 21). Of such production, four language groups (English, French, German, Spanish) dominate, accounting for between 34 and 36 percent of these titles (Escarpit, 61–62). The increasing domination of large global corporations has also involved a shift in the control and shaping of international book markets, particularly in the Anglophone world. In the nineteenth century Britain was the dominant player in innovative publishing terms; by the late twentieth, power and influence had shifted towards U.S.- and continental European-based players (Finkelstein, 338).

These players instituted significant technical developments that shaped contemporary book markets. Thus we have seen an important shift away from fiction to non-fiction titles as the commercially dominant part of a publisher's list, with what Robert Escarpit has called "functional books," particularly textbooks, providing "powerful testament to the commercial significance of the captive market delivered to the book trade by the systems of higher and secondary education" (Milner, 70). Furthermore, books are increasingly marketed and distributed through a range of nontraditional retail outlets that have their origins in earlier initiatives (such as newsagents, supermarkets, department stores, and book clubs), so expanding the availability of fiction and books beyond specialist bookshops. Equally important has been the place of online retail

spaces such as Amazon.com in supporting book sales and distribution in sections of the world that have access to new media and the internet. Finally, audiences have been exposed to more texts worldwide as a result of the adoption of the paperback as a significant publishing format for new books. Pundits have been predicting the death of the book for some time now, but the strength of sales and the reach of texts beyond national borders in such fashion suggest that books may yet survive as important communication tools in the increasingly globalized media and information world of the twenty-first century.

SEE ALSO: Adaptation/Appropriation, Editing, Graphic Novel, History of the Novel, Journalism, Reading Aloud, Reprints, Reviewing, Translation.

BIBLIOGRAPHY

- Chartier, R. (1981), "L'ancien regime typographique," *Annales E.S.C.* 36:191–209.
- Eliot, S. (2007), "From Few and Expensive to Many and Cheap," in *Companion to the History of the Book*, ed. S. Eliot and J. Rose.
- Escarpit, R. (1966), *Book Revolution*.
- Feather, J. (2006), *History of British Publishing*, 2nd ed.
- Feltes, N.N. (1986), *Modes of Production of Victorian Novels*.
- Finkelstein, D. (2007), "The Globalization of the Book, 1800–1970," in *Companion to the History of the Book*, ed. S. Eliot and J. Rose.
- Finkelstein, D. and A. McCleery (2005), *Introduction to Book History*.
- Gedin, P. (1982), *Literature in the Marketplace*, trans. G. Bisset.
- Hall, D.D. (1996), *Cultures of Print*.
- Milner, A. (1996), *Literature, Culture and Society*.
- Ohmann, R. (1998), *Selling Culture*.
- Zaid, G. (2004), *So Many Books*.

Purana *see* Ancient Narratives of South Asia

Q

Qissa *see* Arabic Novel (Mashreq)

Queer Novel

ROBERT L. CASERIO

“The queer novel” addresses a complex object. The phrase points to fiction in which characters are identified as gay or lesbian or bisexual or transgendered, and in which same-sex love is prominent. But that is only one meaning of the phrase. Scholarly use of the term “queer” intends to undo our certainties about erotic desire and our definitions of agents of desire, even when eros and its agents are denominated as gay or lesbian. Hence “the queer novel” comprehends more than “gay fiction” or “lesbian fiction,” more than fiction by gay or lesbian authors, even though it takes inspiration from the same-sex eros that religion, law, and society might identify as unnatural or abnormal. Identification of what is “abnormal” overlooks the arbitrariness and instability of the institutionalized conventions on which “normality” is based. “Heterosexuality” is also an unstable category or identity, itself a queer business. As Sigmund Freud declares in 1915 in a footnote to the first of his *Three Essays on the Theory of Sexuality*, “the exclusive sexual interest felt by men for women is . . . a problem that needs elucidating and is not a self-evident fact.” Eros is unruly; attempts to regulate it are costly. “The requirement . . . that there be a single kind of sexual life for everyone,” Freud

protests in *Civilization and Its Discontents*, “disregards the dissimilarities, whether innate or acquired, in the sexual constitution of human beings” (chap. 4).

The novel has always occupied itself with dissimilarities in humanity’s erotic constitution; designating a subspecies of fiction as “queer” perhaps is redundant. If, however, we take the queer novel most obviously to mean an alternative to representations of opposite-sex eros, in the nineteenth century the genre originates in German Romantic fictions about male–male love by August, Duke of Saxony–Gotha, and by Heinrich Zschokke. In France, Honoré de Balzac’s output includes *La fille aux yeux d’or* (1835, *The Girl with the Golden Eyes*), about a lesbian liaison; and three novels (1837–49) that feature a compelling homosexual master criminal (and eventual head of the Paris police), Jacques Collin. Balzac is not claimed as a gay writer, but the queer novel is alive in him. In North America, Herman Melville’s novels imply sexual encounters between men: *Moby-Dick* (1851) includes a fantasy of male group masturbation and idealizes—significantly for future developments of queer fiction—a correlation between homosexual eros and radical democracy.

Oscar Wilde’s *The Picture of Dorian Gray* (1891) initiates the queer novel in English and Irish fiction. Wilde’s protagonist, who can be interpreted as bisexual, is ultimately punished for his departures from norms. His punishment might represent Wilde’s submission to the legal and social conventions

that, as a result of his trial for sodomy in 1895, condemned him to prison for two years. Yet when Wilde emerged from prison he did not recant his eros. And *The Picture of Dorian Gray* invests with homoerotic desire for Dorian the artist who paints the magical picture. The portrait painter is sympathetically rendered. If Dorian is punished by his maker, Wilde, it is in part because Dorian ruthlessly kills the blameless artist.

Homophobia (both external and internalized) has been said to dictate unhappy fates for same-sex love in queer novels written before Stonewall-era liberation (i.e., 1969 and after). Evidence of this view adduces multiple censorship: E. M. Forster's self-suppression of his novel *Maurice* (1913) because it asserts the happiness of a male couple; legal prosecution of A. T. Fitzroy's *Despised and Rejected* (1918), a WWI "coming-out" novel about a friendship between a lesbian and a gay conscientious objector; and the trial for obscenity of Radclyffe Hall's *The Well of Loneliness* (1928), in which the heroine, a novelist, loses her beloved Mary to heterosexual marriage, and swears thereafter to martyr herself to her queer "kind." Her kind demand that she use fiction to "acknowledge us . . . before the whole world," to "give us also the right to our existence," even if service to the demand "tear[s] her to pieces" (chap. 5, §3).

In the face of such unhappy outcomes, one must keep in mind that realism and naturalism in fiction, of which Hall's novel is a mixture, tend to represent defeats of eros, no matter what its variety. The Brazilian novel *Bom-Crioulo* (1895) by Adolfo Caminha explicitly recounts a rivalry between a black gay sailor and a white Portuguese woman for the sexual possession of a cabin boy. The rivalry is disastrous; but the disaster is caused by naturalism's fatalistic view of eros, rather than homophobia.

Moreover, by the time of the trial of *The Well of Loneliness*, queer eros in fiction is

more affirmed than stories of fatality or legal suppression suggest. Mikhail Kuzmin's Russian novel *Krylya* (1906, *Wings*), an experiment in modernist impressionism, unfolds the increasingly joyous sexual self-discovery of its young protagonist. In the U.S., Edward Prime-Stevenson's *Imre* (1906) also vindicates homosexual romance. In England fictions by Frederick Rolfe and Ronald Firbank maintain Wilde's vital influence. Rolfe's *Hadrian the Seventh* (1904) imagines a chaste but homosexual pope, who blesses a male-male union between his chamberlain and a failed candidate for the priesthood. Firbank's *The Flower beneath the Foot* (1924), about an imaginary European nation-state, exhibits routine lesbian love affairs, a boy-loving former prime minister, and gay migrant workers from North Africa. Such content in Rolfe's and Firbank's fictions was not prosecuted. Also not prosecuted was Virginia Woolf's *Orlando*, about a time-conquering transgendered protagonist, published in the same year as *The Well of Loneliness*. In France the prestige of the novels of André Gide and Marcel Proust, both of whom portray queer figures, commenced before WWI; the English translation of Proust's *Sodome et Gomorrhe* (*Cities of the Plain*), revealing the homosexuality of multiple leading characters, appeared the year before *Orlando* and *The Well of Loneliness*.

MULTIPLE ORIENTATIONS

The queer novel acquires intensity in the first half of the twentieth century by becoming the joint product of writers whose sexual orientations are diverse. Among English-language novelists whose lives conform outwardly to "heterosexual" practice but who produce "queer" fiction we might include such canonical modernists as Joseph Conrad, Dorothy Richardson,

James Joyce, and D. H. Lawrence. They, like their gay and lesbian fellow-writers (Gide's 1902 *L'Immoraliste*, *The Immoralist*, is exemplary here), write novels that are scrupulously detached from, or downright subversive of, regulatory norms. The norms they distance themselves from include traditional moral distinctions; fixed definitions of what is male and female; and the conventional respect accorded monogamy and family. Conrad's "The Secret Sharer" (1909) dramatizes a virtually amorous male-male intimacy between a ship's captain and a criminal he hides in his closetlike shipboard quarters; Richardson includes in her thirteen-novel *Pilgrimage* (1915-67) a love affair between her heroine and a fellow suffragette; Joyce's *Ulysses* (1922) and *Finnegans Wake* (1939) include fantasies or scenes of transgendered people and polymorphous eros (including male-male incest); Lawrence in *Women in Love* (1921) creates a protagonist who believes that marriage "is the most repulsive thing on earth. . . . You've got to get rid of the exclusiveness of married love. And you've got to admit the unadmitted love of man for man" (chap. 25). The belief appears to be seconded in Willa Cather's *The Professor's House* (1925). In Germany, Thomas Mann's novels, like their author, question the undermining of conventions, yet simultaneously make it heroic, as in his *Doktor Faustus* (1947, *Doctor Faustus*), where Faust is a bisexual modernist composer. Modernist fiction's subversive alliances across sexual orientations continue in representations of homosexuality, bisexuality, and transgendered people to be found in novels by Marguerite Yourcenar (her 1951 *Mémoires d'Hadrien*, *Memoirs of Hadrian*, exalts the Roman emperor who made his adolescent male lover into the object of a world religious cult), Iris Murdoch (*The Bell*, 1958; *The Red and the Green*, 1965), Brigid Brophy (*In Transit*, 1969), Hanif Kureishi (*The Buddha of Suburbia*, 1990), Pat Barker (the *Regeneration*

trilogy, 1991-95), Jeannette Winterson (*Written on the Body*, 1992), and John Banville (*The Untouchable*, 1997).

RELATION TO POLITICS

The diverse sexualities that produce queer fiction often have been inspired by egalitarian motives, including beliefs (especially before WWI) that homosexual love democratically levels class and gender distinctions. Accordingly, the queer novel develops, during the middle and the latter parts of the twentieth century, along lines that exemplify queer love's continuing political vocation. Its vocation seems certain in mid-century fiction by John Horne Burns and James Baldwin. Horne Burns's *The Gallery* (1947), about the Allied liberation of the Italian peninsula in WWII, delivers excoriating political criticism of U.S. neo-imperialism by pairing the army's exploitation of "liberated" Naples with its repression of gay love among military men. Baldwin's *Another Country* (1962) undertakes to articulate intersections of American racial, sexual, and gender categories in order to forge an adequately complex model on which to base social and political progress.

An irony attends the development of queer fiction's democratic calling, however. For better or worse, it can loosen alliances among sexual orientations, and thereby reify the meanings of "gay," "lesbian," or "straight." The paradoxical result makes the queer novel less comprehensively queer. For example, in Christopher Isherwood's career, the protagonist of *The World in the Evening* (1954) is bisexual; a secondary character is a gay man who predicts the vociferous queer identity and activism of 1969 and after. The secondary character's exclusively homosexual identity becomes primary by 1976, in Isherwood's *Christopher and His Kind* (a mix of novel and memoir). Isherwood's

post-Stonewall consciousness insists on the uniquely separate character of gay men, on the basis of which he equates queer love's political tendency with an egalitarianism that is antinationalist and cosmopolitan. A complementary identitarian and political turn is exemplified by the Manx-born novelist Caeia March in *Three Ply Yarn* (1986), which proposes exclusive lesbian love and identity as the ultimate political weapon against patriarchy and androcentrism.

The politicizing use of fiction by novelists and readers as a vehicle for claiming a "right to our existence" was intensified in the 1980s by the AIDS pandemic and the scapegoating of homosexual men as the alleged "source" of the plague. In developing that use of fiction, however, criticism of celebrations of subversion enters the queer novel, perhaps as a result of post-Stonewall activists' practical engagement with state powers. Angus Wilson's *Hemlock and After* (1952) predicts the criticism: its gay protagonist believes that he must cede some of his unconventional liberty in order to share the benefits and the responsibilities of public life. Alan Hollinghurst's AIDS-era novels elaborate the gist of *Hemlock and After*. *The Swimming-Pool Library* (1988) casts a cold eye on gay men's capacity for self-destructive treachery and lack of solidarity; it also shows (*pace* Isherwood and despite cosmopolitanism) that gay white male citizens of imperialist nations easily exploit colonized or postcolonial gay men. Hollinghurst's *The Line of Beauty* (2004) suggests complicity between Thatcherite betrayals of public and global welfare and a gay man's self-indulgent innocence about national and international politics. Queer politics, Hollinghurst suggests, must avoid the pitfalls that his novels illustrate.

But while one vital tradition of the queer novel remains attached to politics, another—perhaps more directly continuous with modernist fiction—withdraws from it, as if

restlessly searching for alternatives that are utopian, or forever beyond social articulation, or even beyond language. The philosopher George Santayana's novel *The Last Puritan* (1936) suggests that his closeted queer hero's tragedy is the hero's political impulse: a "wish to govern" that, essentially puritanical, blights eros. The heroine of Djuna Barnes's *Ladies Almanack* (1928), Dame Musset, sees struggles for gay rights—including a right to marriage—as already out of date, a reactionary limit on queer possibility. Barnes's cultivation of verbal opacity in *Nightwood* (1936) seeks to resist co-optation of eros by stock responses and clichés that might seek to "govern" sexual passion; James Purdy's novels (1956–92) are in line with Barnes's resistance. Jean Genet's novels (1941–52) dramatize the contention that legitimate social order and homosexual criminal life are mirror images of each other. They imply that political interventions cannot break through the deadlocked symmetry. A similar skepticism informs the fiction of the American anarchist Paul Goodman, an admirer of Genet. Goodman's *Parents' Day* (1951) represents the hopes but also the limits, due to sexuality's incalculable force, of the aims of progressive political and educational collectives. William Burroughs's novels (1959–71) invoke homosexual desire as a resource with which to destroy narrative and generic coherence and thereby to disclose alternative visions of experience and language; but they are visions that outdistance politics. The same might be said of the exilic consciousness that informs the queer eros of Juan Goytisolo's "Count Julian" trilogy (1966–75). Cuban novelist José Lezama Lima's *Paradiso* (1968) uses verbal and formal opacities to protect its investigation of same-sex anal eroticism from censorious response and political interference. The fiction of Lezama's junior colleague Reinaldo Arenas, bitterly disillusioned by the hostility

to homosexuality of Castro's "progressive" Cuba, refuses all political allegiances.

A recent trend in the U.K. has produced reimaginings in fiction of the sexual culture and experience of writers who, representing a spectrum of erotic diversity, stand at the origins of the modern queer novel: Wilde, Henry James, and Joyce, especially. Maureen Duffy's *The Microcosm* (1966), although reaching further back in time, is an avatar of this mode, which includes work by Jamie O'Neill, Colm Tóibín, and Sarah Waters.

SEE ALSO: Gender Theory, Sexuality.

BIBLIOGRAPHY

- Caserio, R.L. (forthcoming), "Queer Modernism," in *Oxford Handbook of Modernisms*, ed. P. Brooker, et al.
- Dean, T. (2000), *Beyond Sexuality*.
- Edelman, L. (2004), *No Future*.
- Wachman, G. (2001), *Lesbian Empire*.
- Woodhouse, R. (1998), *Unlimited Embrace*.
- Woods, G. (1998), *History of Gay Literature*.
- Woods, G. (forthcoming), "Novels of Same-Sex Desire," in *Cambridge History of the English Novel*, ed. R.L. Caserio and C.C. Hawes.

Quixotism *see* Fiction; Iberian Peninsula

R

Race Theory

EVA CHERNIAVSKY

Let us start with what “race theory” is not. It is not a unified body of analytic work, nor does the signifier *race* name a singular object of investigation that would remain consistent across different theoretical traditions or schools of inquiry. If we can say anything at all about “race theory” in general, it is that the work of theorizing race remains fundamentally bound up in the effort to historicize the production of race as an epistemological category, as well as to address the centrality of race to the production of modern epistemologies; to situate racial tropologies within the wider discursive fields of modernity (discourses of gender, class, nationalism, empire, and mass culture, for example); and to chart the manifold articulations of racial epistemologies and discourses to institutionalized social practice—to the material conditions of raced bodies and raced subjects. In other words, if there is anything that “race theory,” in general, might tell us at the outset, it is that race is less an object than a field of inquiry—an inquiry into processes of racialization at the center of modern knowledges, discourses, and institutions.

What this means for the student of the novel is that the matter of race neither begins nor ends with the matter of racial “content”—of explicitly racialized themes or characters. The nineteenth-century real-

ist novel, its critics tend to agree, variously engages the conditions of modernity, including the emergence and consolidation of industrial capitalism; the social and political ascendance of the bourgeoisie; the logic of the contract as the central principle of social relations (the Social Contract; wage labor); the effects of urbanization and the stranger sociality of the industrial metropolis; the sacralization of home and domestic relations as the scene of authentic human feeling and sympathies; the emergence of commodity culture and new prospects for the mass dissemination of social norms; and the turn to education and reform (e.g., the public school and the prison) as central institutions of social regulation through induced self-surveillance. Among the *leit-motifs* of the classic realist novel, then, we number the possibility and limits of individual autonomy and self-determination in a world of material inequality and ubiquitous social constraint; the relations between the propertied classes and the dispossessed as they comprise a (putatively organic) national people; the tensions between progress (civilizational advance) and the atomizing, alienating effects of urbanization and industrial production; and the division of urban space and social life into public and private domains that alternately enable and circumscribe self-interest and mobility on the basis of gender and age. All of these enumerations are partial and fragmentary but intended to sketch the broad social canvas on which the

realist novel is drawn, in order to situate, in turn, this essay's main critical preoccupation with the racial grammar of the novel. Rather than locate the question of race in segregated *topoi*, or in explicitly raced (nonwhite) protagonists, this essay draws on some of the germinal scholarship in postcolonial and ethnic studies to suggest how the defining concerns of the realist novel—with individualism, freedom, property, progress, national identity, domesticity—are inextricably bound up in racialist thought and practice.

RACE AND EUROPEAN MODERNITY

Edward Said's watershed *Orientalism* (1979) in many respects set the stage for the subsequent wealth of inquiry into the fundamentally racialized character of European modernity (see MODERNISM). The organizing contention of Said's study is that the conceptions of "the Orient" and "the Oriental" wrought in the contexts of European imperial expansion and colonial rule are projections (fantasies of an "other") that bear essentially no relation to Asian peoples as culturally heterogeneous, historical subjects, except—and the weight of this exception can hardly be overstated—insofar as the fiction of the "Orient" authorized and enabled forms of regulation, coercion, and expropriation with all too real, material consequences for the colonized (see IDEOLOGY). Orientalist discourse, Said argues, rehearses a structuring opposition of Orient to Occident, in which the backwardness, the arbitrary tyranny, the irrational customs, and the stasis of the former serve as the screen on which the progress, political emancipation, enlightened reason, and human advancement of the latter are writ large. The stake in *Orientalism*, then, is the legitimation of modern European national identities, political institutions, legal norms,

governance strategies, scientific protocols, moral sensibility, and cultural ethos (see NATIONAL). While Orientalist discourse so insistently associates the racial difference of the colonized with atavism, irrationality, and the retrenchment of human possibility, this version of an Orient is original and proper to Europe, Said contends, and to a specifically modern cultural imaginary. At the same time, his work demonstrates, Europe is not self-contained, as its self-conception is forged along its peripheries, in relation to racially differentiated cultures and peoples.

In the intervening decades, a rich and diverse array of scholarship has extended and elaborated Said's critical remapping of European modernity in ways that account for the iterations of European epistemologies, institutions, and discourses within European settler colonial contexts (particularly the U.S.) and that consider as well the wider terrain of imperial and colonial imaginaries, as these encompass Africa, the African diaspora, the indigenous peoples of the Americas, Australia, and the Pacific. In Paul Gilroy's influential work, for example, the deportation of captive African labor appears not as an anomaly, not as an exception to the processes of human advancement with which it is oddly and embarrassingly contemporaneous, but rather as a fundamentally modern instance of the large-scale displacement and mobilization of human populations. Gilroy's understanding of the slave's Atlantic passage thereby interrupts the more familiar conjugation of labor migration with urbanization (loss of tradition but also release from traditional social bonds) and industrialization (alienation, but also emancipation from forms of indentured agrarian labor). Rather, in his account, chattel slavery indexes the imbrication of modernity and its meta-narrative of progress (emancipation from customary servitude) in institutionalized

practices of racial terror: the internment, surveillance, and prostration of racialized human populations.

RACE, GENDER, AND DOMESTICITY

Other important scholarship on race and modernity attends specifically to matters of gender and domesticity in ways especially relevant to the realist novel, as well as to modernist fiction that both defamiliarizes the terrain of the realist novel (shatters its illusionism) and retains many of its preoccupations with the formation of individual consciousness and the scales of interior life (home, psyche), posed over and against mass culture and the alienating conditions of the industrial metropolis (see MODERNISM). For example, in *Imperial Leather* (1995) Anne McClintock elucidates the relation of the privatized nuclear family to the modern nation as imperial power. In her account, the family resolves a structuring contradiction in the temporality of the nation, which is at once future-oriented (nations develop and progress) and backward-looking (however modern, nations always lay claim to an origin, or essence, expressed in an abiding national character or traditions). Within this fractured temporal scheme, the family embodies the timelessness of national life (a national essence preserved outside historical time) that guarantees the continuity of the nation as a public, political order advancing on futurity. At the same time, the trope of family also functions to secure the progressive character of imperial nations on the world stage by temporalizing racial and cultural difference. Within the discourse of the “family of man” born of comparative anatomy (and other forms of racial pseudo-science), cultural difference is constituted as racial difference arrayed along an evolutionary scale, with “European” man at the apex of this “family

tree,” the avatar of humanity in its most developed form, and the “lower” races ranged along the lower branches of the diagram, which represent anterior, “primitive” levels of human development. Thus on the national scene, family appears ahistorical (natural) and continuous, but in the imperial context, British, French, or American family domestic relations, for instance, stand as the mark of progress measured against the backward sociality of “primitive” peoples. McClintock’s analysis permits us to understand how family life signifies at once social reproduction and civilizational advance within the national literary traditions of imperial states.

This work has both enabled and been enabled by specifically literary scholarship on the novel that has argued for the centrality of race and empire to metropolitan narratives, which often pay little overt attention to these themes. Gayatri Chakravorty Spivak’s account of Charlotte Brontë’s female BILDUNGSROMAN, *Jane Eyre* (1847), for example, makes an important intervention into other critical reading practices (feminist and Marxist, in particular) that privilege the novel’s engagement with questions of GENDER and CLASS exclusively (see FEMINIST, MARXIST). Empire appears to dwell on the margins of this novel: in the figure of the planter’s daughter, Bertha Mason, whose madness and abandon is only the direct expression of her Creole family’s degenerated state; and in the aborted prospect of Jane’s attachment to St. John Rivers and missionary toil in India, an environment that would, the novel assures us, swiftly bring on her demise. But the novel’s concern with forging a social context for the female individual, Spivak contends, is imbricated in a racialized imperial imaginary. Thus the elaboration of women’s identity beyond childbearing and sexual reproduction, she argues, is staked on middle-class women’s capacity for “soul-making,” the cultivation

of morally advanced human sensibilities, which authorizes women within the space of the bourgeois household but also crucially aligns them with a broader social mission. It is this delineation of social mission that opens the colonies as a field of self-realizing moral labor for British women such as Jane Eyre, and Spivak's point, broadly sketched, is that white women's emergence within the wider discourse of the "white man's burden" enables their self-cultivation as individuals (as legitimated actors within civil society) only insofar as colonized women remain excluded from this gendered norm. The "native female" is both the object of white women's imperial benevolence and the sign of a racialized, gendered atavism (one that can infect even white settlers' daughters, such as Bertha, born and bred in the morally toxic environment of non-white populations in the colonies).

THE "RACIAL GRAMMAR" OF THE NOVEL

Toni Morrison pursues a similar line of argument in *Playing in the Dark*, where she traces the centrality of an "Africanist presence" in canonical U.S. fiction, a black figure lurking on the fringes of realist and modernist novels, less a character possessed of his (or her) own interiority than an icon of what lies beyond the discursive world of the novel—an icon for what the text cannot assimilate. For Morrison, the identities of the novels' protagonists (and identifications of their readers) are formed over and against this mute and peripheral presence, whose exclusion, she suggests, is therefore rightly understood as constitutive of the identities, social formations, histories, and futures on which the novels center. Like Spivak, and in line with other critical work less specifically focused on literary practice, Morrison thus points us to what I call, in a

phrase adapted from Hortense Spillers, the "racial grammar" of the novel, by which I mean the ways that the fundamental preoccupations of the novel with gendered personhood, family, generation, progress, mobility, loss of tradition, and new forms of attachment (including, centrally, attachment to one's self, or self-possession) are defined along an axis of racial differentiation in relation to forms of nonpersonhood, degeneration, atavism, and dispossession that are explicitly and insistently racialized within the context of modern imperial and colonial world-making. Thus as Morrison insists, novels where "black" protagonists appear largely incidental, or peripheral to the narrative, fundamentally require such figures as the mainstay of their own coherence: the intelligibility of their characterization, the transparency of their narrative conventions.

Conversely, one might argue, novels where nonwhite characters figure prominently as the subjects of the narrative are routinely split off or displaced into nominally discrete literary categories. As Harryette Mullen provocatively points out, for example, the act of racial "passing," although conventionally framed as deception, is nothing other than the effort to move from margin to center that reads as the exemplary pursuit of cultural assimilation when performed by European immigrants, who shed their pasts and traditions so as to attain to an authentically (white) "American" identity. From this perspective, the genre of the "passing novel" is narratively indistinguishable from the American bildungsroman, except insofar as it represents the trajectories of racially disqualified protagonists, whose passing recapitulates all too closely the normative employment of the self-made "American." Mullen's argument further reminds us how the classic American novel, from Horatio Alger's *Ragged Dick* (1867) to F. Scott Fitzgerald's

The Great Gatsby (1925) and beyond, is always and necessarily racialized, that is, concerned with the reproduction of whiteness, or in Étienne Balibar's suggestive phrase, the "fictive ethnicity" of the nation (96).

By thinking in terms of "racial grammar," I aim to insist at once on the power and tenacity of novelistic convention and on its contingency: grammar is abiding, and challenges to grammatical usage routinely incur the stigma of bad usage, but grammar is *not* intractable and in point of practice is continuously assailed by the forces of colloquial innovation. Henry Louis Gates, Jr.'s influential work on the African American literary tradition opens one important critical vantage point on the question of discursive innovation, through his account of "signifyin(g)" as an African-derived practice of repetition with a difference. "Signifyin(g)" mobilizes the instability of language understood as a system of differential meaning (words mean only in relation to other words, to the totality of signifiers in the language), in order to dislodge a particular term from the matrix of related signifiers in which it is conventionally embedded. "Signifyin(g)" thus entails re-functioning familiar idioms and tropes in such a way as to interrupt the meanings that normally accrete to them and, in so doing, to more or less subtly disorient the reader. To cite just one example of literary "signifyin(g)," I note that certain novels of racial uplift, such as Frances Harper's *Iola Leroy* (1892), signify on American citizenship, recirculating a familiar rhetoric of "good citizenship" but also disrupting its relation to a series of related signifiers, including especially *whiteness*, in a manner to reposition the African American as the exemplary subject of civic participation. Alongside "signifyin(g)," recent criticism and fiction has explored a wealth of narrative strategies for redrawing the boundaries of family, home, public, private, and nation, and reimagining the

kinds of subjects who move within and across these narrative domains (see Lee; Layoun; McClintock et al.). If the defining motifs of the novel are racialized (quite apart from explicitly racial content), then, reciprocally, a rescripting of these motifs—e.g., in novels that rewrite women's relation to nationalism, or that refuse linear temporalities (clean distinctions between past and future, origins and telos), or that dismantle distinctions between authentic and assumed identities, or that trace connections between freedom and terror—is vital to the work of racial critique and to revising, however incrementally, the racial grammar of the novel.

SEE ALSO: African American Novel, Asian American Novel, Latina/o American Novel.

BIBLIOGRAPHY

- Balibar, É. (1991), "The Nation Form," in *Race, Nation, Class*.
- Gates, H.L., Jr. (1988), *Signifying Monkey*.
- Gilroy, P. (1993), *Black Atlantic*.
- Layoun, M. (2001), *Wedded to the Land*.
- Lee, R. (1999), *Americas of Asian American Literature*.
- McClintock, A., A. Mufti, and E. Shohat, eds. (1997), *Dangerous Liaisons*.
- Morrison, T. (1993), *Playing in the Dark*.
- Mullen, H. (1994), "Optic White," *Diacritics* 24: 71–89.
- Said, E. (1979), *Orientalism*.
- Spillers, H. (2003), "Mama's Baby, Papa's Maybe," in *Black, White, and in Color*.
- Spivak, G.C. (1985), "Three Women's Texts and a Critique of Imperialism," *Critical Inquiry* 12: 243–61.

Reader

MICHAEL SCHEFFEL

Generally related to a text-based literary culture, the term *reader* is connected in

academic usage to various concepts of literary criticism and theory. In a narrowly defined sense it is used to refer to (1) the empirical reader, the individual historical recipient of a written or printed text. Thus, taken as a group, empirical readers constitute the author's "public" who, as the final link in the chain of literary communication, also influence the production of literature. Accordingly, the historical figure and reading habits of the empirical reader have been the subject of studies ranging from behavioral and cognitive psychology to the sociology and history of reading. Clearly distinct from the empirical reader is (2) the fictional reader, who belongs to the explicitly imagined world of many literary texts and whose profile and reading habits is a major theme of world literature. Literary criticism and theory use the term *reader*, however, not only to refer to the real or imaginary recipient of a text, but in a broader sense to pinpoint various aspects of writing connected with the addressee. Here the reader is generally a more abstract construct embodying various roles or functions in the process of literary communication; but precise definitions of the concept differ so widely that a consistent typology, let alone a single theory or model covering all usages, is hardly possible. Nevertheless, two concepts can be broadly distinguished: first (3) the fictive reader, understood as the counterpart to the figure of the narrator within the fictional framework, and second (4) the implied reader, a figure of varying profile and indefinable ontological status that functions as the (ideal) conceptual addressee of the text.

THE EMPIRICAL READER

The earliest culture of individual reading known to us developed in the Hellenistic period (fourth and third centuries BCE), not

as a substitute but parallel to the communal reception of texts read aloud to a group of listeners, whose popularity had spread during the seventh and sixth centuries BCE. From Antiquity to the Middle Ages reading *alta voce* (aloud) was, in fact, the norm for aesthetic, cultic, or religious (as opposed to purely pragmatic) reading activities. (This changed only with the development of literary prose: novels, for example, were from the very beginning read silently, whilst poetry and drama were still as a rule read aloud right into the eighteenth century.) After the fifth or sixth century CE in Europe the activity of reading lapsed entirely for some six centuries, and written culture became the prerogative of the monastic schools. The twelfth and thirteenth centuries saw a renewal of writing, and from the fourteenth to the fifteenth century the nascent urban culture of Europe brought with it a growth in literacy. Not until the sixteenth century, however, did this show signs of developing into a bourgeois reading culture in the modern sense, and only in the context of the eighteenth century. Enlightenment was a culture of individual reading generally established—with considerable national differences. Its basis was the shift from the received tradition of cyclical or repetitive reading of the Bible and other religious and devotional writings to the "one-off" reading of secular texts, pride of place among them being taken by the bourgeois novel. In the course of the eighteenth century an expanding book market, reading societies, and lending libraries began to supply an increasing volume of reading material to a public progressively differentiated on gender lines, with men predominantly reading newspapers, periodicals, and factual texts and women fiction and belles-lettres. Numerically speaking, the empirical reading public in Europe remained small: at the time of German Classicism (ca. 1800), regular (i.e., at least one book per year)

readers of belles-lettres in Germany amounted to hardly one percent of the adult population. Technical innovations in paper manufacture and book production during the second half of the nineteenth century, along with new methods of distribution (e.g., peddling) of newspapers, periodicals, and tracts, brought considerable price reductions and led to a corresponding surge in the number of empirical readers. This stabilized into the typical pattern of twentieth-century industrialized countries, with a good third of the population reading books regularly (i.e., several times a week), a third reading occasionally or rarely, and almost a third not reading at all. The continuous growth of the new media since the end of the twentieth century has introduced further changes. Reading and the use of the new media are now functionally interdependent, and the polarization between regular readers who are at the same time literate users of other media and occasional or nonreaders is currently becoming more acute.

THE FICTIONAL READER

In various guises the figure of the reader and his/her reading matter has played a role in literature ever since classical Antiquity. Far from functioning in a naively realist sense, however, this figure (i.e., the fictional reader) serves as a mirror opening up critical discussion of the many forms of literature and its reception—a meta-level reflecting and stimulating reflection on the poetological issues of the day. Thus the motif of reading has often been used to hold certain types of literature and reading attitudes at arm's length. Lucian's *True History* (ca. 180 CE), for example, opens with the I-narrator presented as a reader of Homer's *Odyssey* (eighth century BCE) and other works of "the ancient poets, historians and philosophers,"

whose impact has induced him to write his own "tale of lies." In Canto V of Dante's *Inferno* (1307–21, *Divina Commedia; The Divine Comedy*) we find the first tale of a couple veritably seduced by a literary text: Francesca and her husband's brother Paolo, who fell tragically in love after reading the romance of Lancelot together. The dangers of emotional identification with literature are subsequently treated in many texts of world literature, and the fictional reader finds famous expression in figures ranging from Don Quixote, driven to deeds of adventure by reading knightly tales, to Madame Bovary, who attempted in vain to find in extramarital love the happiness peddled in the cheap novels of her day. Both Sir Launcelot Canning's *Mad Trist*, read by the I-narrator to his friend Roderick Usher in Poe's *The Fall of the House of Usher* (1839), and the "yellow book" (i.e., J.-K. Huysmans's 1884 *À Rebours; Against Nature*) held in such esteem by Dorian Gray in Oscar Wilde's *The Picture of Dorian Gray* (1890), exemplify the way in which authors have linked the fictional reader with the motif of the book within the book. Finally, the figure of the fictional reader offers an opportunity in many novels for reflection on the complex interweave of relations between writing, reading, and life. The technique of implanted narrative used in some epistolary novels or journals like Johann Wolfgang von Goethe's *Die Leiden des jungen Werthers* (1774, *The Sorrows of Young Werther*) or Irmgard Keun's *Das kunstseidene Mädchen* (1932, *The High Life*) is particularly effective in this respect. Mention must also be made of works such as André Gide's *Les Faux-Monnayeurs* (1925, *The Counterfeiters*) and Aldous Huxley's *Point Counter Point* (1928)—tales of an author-reader at work on his own manuscript that embody the fluid interface of life and literature in the form of a novel about writing and reading a novel.

THE FICTIVE READER

The fictive reader differs from the fictional reader in being a more or less abstract construct extrapolated from the text rather than a specific figure within it. As a critical concept, the fictive reader functions as the extradiegetic addressee of a fictional text, the fictive counterpart of its (equally fictive) narrator; as such it is part of the imaginary world created in and by the sentences of the text. Like the narrator, the fictive reader can be presented explicitly or implicitly. Explicit presentation involves the use of second-person (singular or plural) pronouns and grammatical forms, or such third-person conventions as “the gentle reader.” Constructed in this way and endowed with widely varying levels of concrete detail and characterization, the image of the addressee can shadow that of the narrator throughout a text. In Laurence Sterne’s *Tristram Shandy* (1759–67), for example, or in many of Fyodor Dostoyevsky’s narratives, the fictive reader is constantly present as listener-recipient conceived in the tradition of oral storytelling. On the other hand, works that present a fictive reality as if it were historical and “objective” will rarely contain explicit indications of a recipient: examples from the nineteenth-century realist tradition are the novels of Gustave Flaubert, Émile Zola, or Theodor Fontane. An interesting case from the point of view of narrative theory is Italo Calvino’s *Se una notte d’inverno un viaggiatore* (1979, *If on a Winter’s Night a Traveler*), which plays on (and with) the border between fictional and fictive reader, telling the story of a man and a woman engaged in the activity of reading and responding to the very novel that creates them.

Explicit presentations of the fictive reader are generally concerned with a single person, but in older texts, from Ludovico Ariosto’s *Orlando furioso* (1532, *Mad Orlando*) to

eighteenth-century novels like Christoph Martin Wieland’s *Don Sylvio* (1764), the figure is often conceived as a member of a group, allowing the narrator to address various individuals from that group in turn. Conceived as a single person, the fictive reader is most often presented as the friend or privileged partner of the narrator; a further variant is the type of the insulted or ironized fictive reader.

Reconstructed via a critical reading of the text, the implicit fictive reader is the product of the need for a counterpart to the narrator, an addressee without whom no communication could occur. All texts, in fact, contain implicit information about the intellectual and emotional norms of their putative addressee, whether linguistic, epistemic, ethical, or social—even if only in the narrator’s apparent anticipation of a certain pattern of behavior and response. Flaubert’s novels, for instance, project a rather passive and silent fictive reader, whereas Dostoyevsky’s suggest one that actively asks questions, utters objections, and expresses doubts.

THE IMPLIED READER

Whilst the fictive reader, as the narrator’s addressee, clearly belongs to the imaginary world created in and by the sentences of a fictional text, the implied reader, as the author’s addressee, is a construct external to that fiction. Prescinding from the widely differing approaches of literary theory to the task of definition, the implied reader can be meaningfully conceived as a function or instance determined by textual features, and as such strictly distinct from any concept the historical author may have had of a real or ideal reader (in the sense of an “intended reader”).

Although already latent in Wayne C. Booth’s concept of the “implied author,” the concept of the implied reader was

introduced into literary research as a term in its own right by Wolfgang Iser in the 1970s. Together with H. R. Jauss and other German scholars, Iser founded the school of *Rezeptionsästhetik* (reader-response criticism) that raised awareness of the role of the reader in any explication of the process of literary communication. It is important for an understanding of Iser's approach to realize that the concept of the implied reader is part of a comprehensive theory of aesthetic response. A basic assumption of this theory is that from the pragmatic point of view the sentences of a literary fiction represent utterances divorced from any real situational context, and that from a formal point of view they contain many gaps. Iser uses the construct of the implied reader to grasp the presuppositions within the text for the many and varied acts of meaning-making actually performed by its possible readers. His implied reader is in this sense "a structure inscribed in the text" that determines the "conditions of reception" of the literary work and thus serves as a foundation for the reader's "initial orientation" and subsequent "realization" of the text. Compatible with Iser's approach is Walker Gibson's idea, already mooted in the 1950s, of a "mock reader": a construct, determined by the text, embodying the role taken by the real reader in the process of reading. Iser's idea was further refined by Umberto Eco's anthropomorphic text-based concept of a *lettore modello* ("model reader") that—like Stanley Fish's "informed reader" and Jonathan Culler's "competent reader"—possesses knowledge of all the codes required for an understanding of the text, as well as the cognitive competence and readiness to complete the steps constituting the process of understanding. In practice, the reader who sets out to pinpoint such a presuppositional construct via a process of textual analysis must first have understood the text. Thus, sooner or later, the concept of

the implied reader inevitably encounters the hermeneutic problem of understanding.

BIBLIOGRAPHY

- Bray, J. (2009), *Female Reader in the English Novel*.
 Culler, J. (1975), *Structuralist Poetics*.
 Eco, U. (1979), *Role of the Reader*.
 Fish, S. (1980), *Is There a Text in This Class?*
 Goetsch, P. (2004), "Reader Figures in Narrative," *Style* 38:188–202.
 Iser, W. (1974), *Implied Reader*.
 Iser, W. (1978), *Act of Reading*.
 Nelles, W. (1993), "Historical and Implied Authors and Readers," *Comparative Literature* 45:22–46.
 Prince, G. (1971), "On Readers and Listeners in Narrative," *Neophilologos* 55:117–22.
 Rabinowitz, P.J. (1977), "Truth in Fiction," *Critical Inquiry* 4:121–41.
 Tompkins, J.T., ed. (1980), *Reader-Response Criticism*.
 Travis, M.A. (1998), *Reading Cultures*.
 Wilson, D.W. (1981), "Readers in Texts," *PMLA* 96: 848–63.

Reading Aloud

PATRICIA HOWELL MICHAELSON

The development of the novel is often linked to the practice of silent reading. Previously, readers typically read only a few texts, such as the Bible, "intensively" and often aloud (Engelsing). Silent reading gave access to a wider range of texts, which might be read only once and in private. Silent, solitary reading has been seen as essential to the novel's appeal to its early readers (Hunter). But reading aloud has never disappeared: novels have been read aloud since the genre developed, both in the family and, especially in the nineteenth century, in professional performances. The oral performance of literature was a part of the school curriculum in Britain and the U.S. well into the twentieth century. Professional recording of books

began in the 1930s as an aid for the blind; today, a burgeoning market for audiobooks supplements that for printed novels.

Eighteenth-century critics of the novel often expressed anxiety about how easy it was for young, undereducated readers (women, in particular) to be corrupted by the novel's individualist values. Reading silently and alone, they claimed, not only kept young readers from more important duties, but made them more susceptible to the novel's negative effects (Pearson, Flint). Samuel Johnson's characterization of novel readers as "the young, the ignorant, and the idle" (*Rambler*, 1750) and Gustave Flaubert's *Madame Bovary*, a century later, are iconic examples of this idea. In modern times, reading alone may still be viewed as a private indulgence, a break from the daily routine and a chance to experience idealized romance (Radway).

The practice of reading novels aloud, by contrast, makes reading a part of family or social life. Samuel Richardson's *Pamela* (1740) was read aloud, famously, in villages where the literacy rates were low. In middle-class homes, family reading provided an experience that was shared, interrupted for discussion, and mediated by comments on the text. Reading became a performance, in which the reader could act out the parts of the narrator and the various characters. This entry will discuss, first, the eighteenth-century British "elocution movement," which theorized reading aloud; second, the practice of reading novels aloud; and lastly, the changes brought by twentieth-century media.

THE ELOCUTION MOVEMENT

In Britain, beginning in the 1760s, elocutionists like Thomas Sheridan brought attention to the oral performance of texts. In

keeping with classical rhetoricians, Sheridan argued that texts were "dead" until performed by the living voice; his focus was on persuasion in the public spheres of church and politics (see RHETORIC). In his *Lectures on the Art of Reading* (1775), Sheridan analyzed the church service almost line by line, criticizing the usual reading and marking emphases and pauses so the performer would properly convey the text's meaning. Another elocutionist, John Walker, taught that a grammatical analysis would lead to proper pronunciation. Still others, like John Burgh, championed the expression of emotion as part of the art of persuasion.

The elocutionists' ideas were popularized in anthologies used for teaching reading in schools, which were widely available through the nineteenth century in Britain and the U.S. (The American "McGuffey Readers" are perhaps the best known.) The anthologies often include prefatory instructions for reading aloud, generally borrowed from elocutionists like Sheridan or Walker. The section on "Pronunciation, or Delivery" from Hugh Blair's *Lectures on Rhetoric and Belles Lettres* (1783) was another favorite. This text frames its rules as part of two main goals of reading aloud. For the text to be understood, the reader must speak loudly, distinctly, slowly, and with correct pronunciation. To please and move the audience, the speaker uses proper emphasis, pauses, tones, and gestures. Proper emphasis was highlighted by the elocutionists, since emphasis could alter meaning, as in the example, "Do you *ride* to town today?' 'No, I walk.' 'Do you ride *to town* today?' 'No, I stay in the country.'" Pauses, too, were seen as a kind of emphasis, drawing attention to significant points. Elocutionists criticized the artificial tones that some readers used and recommended using the tones of everyday speech. The use of gestures in reading was more

controversial, with some authors offering diagrams of gestures and formal rules for expressing various emotions, and others dismissing gestures as overly theatrical.

Later in the nineteenth century, elocution became associated with exaggerated and stilted performances, often taught as the “Delsarte system.” The close attention to the author’s meaning, so important to the earlier elocutionists, was abandoned in favor of melodramatic gesture. However, the concern for authorial intention was revived in the twentieth century under the names of “oral interpretation” or simply “interpretation.” Teachers like S. S. Curry early in the century, W. M. Parrish in the 1930s, and Don Geiger in the 1960s all argued that preparing a literary text for a reading was the best way to develop a deep understanding of it. Elocution has been primarily an Anglophone phenomenon. In 1877, Ernest Legouvé lamented the French lack of interest in reading aloud and closed his treatise on reading with a call to imitate the Americans “by making the art of reading aloud the very corner-stone of public education” (1879, *Art of Reading*, trans. E. Roth, 145).

READING NOVELS ALOUD

While the elocutionists explicitly focused on reading in the church or in public speeches, and the school anthologies offered examples of famous speeches from history and from drama, as well as short pieces in prose and verse, the ideas of the elocutionists did influence the reading of novels. Jane Austen, for example, was well aware of the elocution movement; its influence on reading the church service is discussed in *Mansfield Park* (1814, vol. 3, chap. 3). Austen’s letters and novels provide many examples of reading aloud in the family circle, with comments on the quality of the reading. In her novels,

Austen sometimes marked her text for the oral reader, who, unlike a reader of the church service, would probably not have prepared the reading in advance: her use of italics and paragraph breaks suggest points where the reader might emphasize or pause (Michaelson).

As a mixed genre, novels demanded a range of reading styles. The elocutionists had urged readers to “personate” the author of a speech they were reading; this facilitated the reader’s primary job, to convey the author’s meaning to the audience. But readers of novels should personate the author only in narrative sections; in the dialogues, they should portray the various characters. Reading aloud becomes a kind of acting. Gilbert Austin wrote that readers of novels should hurry through “mere narrative.” “Interesting scenes” demand more careful, impressive reading, while dialogue should be read as if it were drama (1806, *Chironomia*, 206). John Wilson noted that even a given description must be read differently, depending on which character is speaking (1798, *Principles of Elocution*).

These elaborations reimagine the novel as theater. Authors planning for an oral performance, then, might minimize narrative in favor of dialogue, leading to livelier reading. In preparing his own texts for his popular public readings, Charles Dickens tended to abbreviate narrative while making characters’ speech more inflected by dialect. Dickens noted emphases, as well as tones and gestures, in his prompt books. He maintained the line between reading and acting, remaining behind his reading desk, but reviewers called him “one of the best of living actors” (Collins, lvi; see also Andrews).

Reading novels aloud alters the audience’s experience of the text. The reader is an intermediary between text and audience, not only interpreting the text through his or her voice, but also abridging the text in some

places and stopping to comment in others. In her diary of 1798, Frances Burney says of her husband reading *Gil Blas* to their son, the “excellent Father judiciously omits or changes all such passages as might tarnish the lovely purity of his innocence” (1976, *Journals and Letters*, 6:801). The risk that the solitary reader might enter too deeply into the illusion is obviated. The text is shared, interpreted, and contextualized in the family. In addition, reading aloud within the family reinforces social bonds and hierarchies: the reader might be a father surrounded by his family, a husband reading to his wife in bed, reinforcing their intimacy, or a paid companion reading to amuse her patron (as Jo does in Louisa May Alcott’s *Little Women*, 1868).

NEW MEDIA

The new media developed in the twentieth century (radio, TV, analog and digital recording) largely displaced reading aloud as an everyday family entertainment, with one notable exception: the ritual of parents reading bedtime stories to young children. As in earlier periods, reading to children performs multiple functions as a means of education and a way of strengthening relationships, and as before, the parent selects the text, interprets it, and interrupts it for discussion. In present-day adult settings, reading novels aloud is often in the context of a special event, like marathon readings of James Joyce’s *Ulysses* (1922) or authors reading from their own work. The actor Patrick Stewart performed Charles Dickens’s *A Christmas Carol* (1843) on stage during the holiday seasons in the 1990s and into the new century, harkening back to Dickens’s practice, to great acclaim.

New media may have aided the demise of family reading, but they enabled the

development of audiobooks. Thomas Edison had predicted as early as 1878 that book recordings would be one future use for the phonograph. Beginning in 1930s, recordings of books were made for the benefit of the blind, both in Britain and in the U.S. The BBC also broadcast “story hours” on the radio for a more general audience. A mass market for recorded books developed in the 1970s, when cassette players became standard equipment in American cars, and their use was closely tied to long drives and/or daily commutes. The American audiobooks industry describes its typical consumer as someone who reads widely and who sees audiobooks as one way to fit more reading in. In the early twenty-first century, audio versions of novels are usually released at the same time as the print publication. The reader is either an actor or, less commonly, the author, and the text is usually abridged. Audiobooks are considerably more expensive than the printed book. Downloadable digital formats and rental programs may make the price more competitive and may help develop a younger and wider listening audience.

SEE ALSO: Adaptation/Appropriation, Dialogue.

BIBLIOGRAPHY

- Andrews, M. (2006), *Charles Dickens and His Performing Selves*.
 Bartine, D. (1989), *Early English Reading Theory*.
 Collins, P. (1975), *Charles Dickens*.
 Engelsing, R. (1974), *Bürger als Leser*.
 Flint, K. (1993), *Woman Reader, 1837–1914*.
 Hunter, J.P. (1990), *Before Reading*.
 Michaelson, P.H. (2002), *Speaking Volumes*.
 Pearson, J. (1999), *Women’s Reading in Britain, 1750–1835*.
 Radway, J. (1984), *Reading the Romance*.

Realism

DEAK NABERS

Realism served as the dominant mode of nineteenth-century novelistic discourse. Although the representation of reality has played at least some small role in many literary movements and projects, the term “literary realism” generally identifies a historically specific set of literary techniques and ambitions. Emerging in France in the 1830s in the work of Stendhal and Honoré de Balzac, realism received its first theoretical elaborations in the 1840s and 1850s in the work of French authors Champfleury and Louis Edmond Duranty and the English critic John Ruskin (1819–1900). The mode flowered across Europe from the 1850s through the 1880s: in France in the work of Gustave Flaubert; in England in the work of George Eliot and Anthony Trollope; in Russia in the work of Leo Tolstoy and Ivan Turgenev. By the late nineteenth century, literary debate in the U.S. revolved around realism, which heavily influenced the work of Mark Twain, Henry James, and William Dean Howells. “The great collective event in American letters during the 1890s and 1890s,” Walter Berthoff explains, “was the securing of ‘realism’ as the dominant standard of value” (1). Constructed out of an awkward mix of paradoxically linked commitments and bearing a complicated and multivalent relationship to nineteenth-century social order, realism has invited a long history of critical speculation. Its exact specifications have repeatedly resisted simple definition.

REALISM’S PROJECT

Realism’s early practitioners tended to present the enterprise in disarmingly matter-of-

fact terms. “Realism is nothing more and nothing less,” Howells claimed, “than the truthful treatment of material” (966). Revolving around “simple honesty and instinctive truth,” it could be “as unphilosophized as the light of common day” (966). The narrator of Eliot’s *Adam Bede* (1859) announces, in chap. 17, that her “strongest effort” is simply “to give a faithful account of men and things as they have mirrored themselves in my mind.” If this meant that she would have to present an uninspired clergyman rather than a saint full of “truly spiritual advice,” then so be it. “I would not, even if I had the choice, be the clever novelist who could create a world so much better than this,” she explains. “I am content to tell my simple story . . . dreading nothing, indeed, but falsity.” In *Mimesis*, an extraordinarily influential mid-twentieth-century account of the “representation of reality in Western Literature,” the German philologist and literary historian Erich Auerbach identifies the “modern realism” of the nineteenth century as, quite simply, “the serious treatment of everyday reality” (491).

Of course, as Auerbach himself demonstrated in great detail, nineteenth-century realists were not the first authors to aspire to the “truthful treatment of the material” in their works. They were hardly unique in preferring “truth” to “falsity.” Authors had been representing reality as long as they had been producing literature. Nor was the realist suspicion of inherited cultural fictions like the infallibility of the local clergy especially unconventional, at least in formal literary terms. By the mid-nineteenth century the novel form itself had long been associated with what Fredric Jameson calls “the systematic undermining and demystification, the secular ‘decoding,’ of those preexisting inherited traditional or sacred narrative paradigms which are its initial

givens" (152). In order "to convince us of his essential veracity," writes Harry Levin, "the novelist must always be disclaiming the fictitious and breaking through the encrustations of the literary" (71). So the distinctiveness of what Auerbach calls modern realism hinged less on the new realism's commitment to representing reality than on the particular kind of reality it represented. Realism's "truthful treatment" of the world was less decisive than its interest in reality in its everyday form.

The nineteenth-century realist's everyday reality was the social world of the bourgeoisie, and to treat it seriously was to focus, first, on the domestic intricacies that constituted the lived experience of middle-class life and, second, on the complicated interconnections between social practices and economic necessity which gave rise to bourgeois subjectivity. Auerbach contends:

The serious realism of modern times cannot represent man otherwise than as embedded in a total reality, political, social, and economic, which is concrete and constantly evolving. . . . [The realist author] not only . . . places the human beings whose destiny he is seriously relating, in their precisely defined historical and social setting, but also conceives this connection as a necessary one: to him every milieu becomes a moral and physical atmosphere which impregnates the landscape, the dwelling, furniture, implements, clothing, physique, character, surroundings . . . and fates of men, and at the same time the general historical situation reappears as a total atmosphere which envelops all its several milieux. (463, 473)

The "necessary connection" between "furniture," "implements," and the like and the "fates of men" places a great deal of pressure on the emblems of everyday life in which the realist novelist tended to traffic. Eliot may well claim that she is content to depict "monotonous homely existence" so

long as she can avoid falsity (chap. 17). But from Auerbach's perspective it is not enough for her accounts of "flower-pots," "spinning wheels," "stone jugs," and "all those cheap common things which are the precious necessities of life" merely to be truthful (Eliot, chap. 17). They must also be suggestive.

Necessity is as important here as reality. The American author Ambrose Bierce once jokingly declared that realism is "the art of depicting nature as it is seen by toads. The charm suffusing a landscape painted by a mole, or a story written by a measuring-worm" (1911, *Devil's Dictionary*, 206). And Lionel Trilling once noted that in the cruder forms of realism, reality "is one and immutable, it is wholly external, it is irreducible. . . . Reality being fixed and given, the artist has but to let it pass through him, he is the lens in the first diagram of an elementary book on optics" (4–5). But the realist's topical immersion in quotidian details generally occasioned a thematic elevation of those details to a higher plane of importance. According to George Parsons Lathrop, writing in 1874, realism "sets itself at work to consider characters and events which are apparently . . . most . . . uninteresting" only so as to "extract from these their full value and true meaning." Realism "reveals," he continued; "where we thought nothing worthy of notice, it shows everything to be rife with significance" (321–22).

It is for this reason that the Hungarian literary critic Georg LUKÁCS praises Balzac as much for his commitment to what Lukács calls "abstraction" as for his attentiveness to "material problems" (44, 51). One could treat "everyday reality" "seriously," to return to Auerbach's terms, only by rendering it something more than the merely everyday, more than the simply immutable and irreducible external world. "The concrete presentation of social interconnections,"

Lukács insists, “is rendered possible only by raising them to so high a level of abstraction that from it the concrete can be sought and found as a ‘unity of diversity’” (44). For Lukács the “very depth of Balzac’s realism” does not derive from his attention to the quotidian. It instead “removes his art . . . completely beyond the photographic reproduction of ‘average’ reality” (60). The novelistic representation of Eliot’s “vulgar details” depends, paradoxically, upon a “passionate striving for the essential and nothing but the essential”—upon, indeed, a “passionate contempt for all trivial realism” (69). Hence the structural ambivalence at the heart of the realist enterprise: simultaneously embracing and rejecting the trivial, the realist novel privileges the concrete over the abstract even as it derives the abstract from the concrete.

Despite all of its posturing against literary conventions, realism was itself quickly recognized as a set of conventions. As Michael Davitt Bell explains, “realism involves not a rejection of style (if such a thing were even possible) but a particular *use* of style” (20–21). Realism was a specific and historically inflected mode of writing as well as an impulse to tether writing more closely to the empirical world, and in many respects its status as a literary mode proved more commanding and durable than any of its actual representational powers. The “descriptive fabric” in Flaubert’s fiction, French literary theorist Roland Barthes maintains, is significant not in its careful conformity to the actual facts of the worlds the fictions represent, or what Barthes calls “conformity . . . to . . . model,” but rather in its conformity to the “cultural rules of representation” that allow certain details to stand in for the quotidian world and for that world’s meaning in relation to bourgeois social life as a whole (144–45). Flaubertian realism, and realism more generally, thereby hinge on what Barthes calls

a “*referential illusion*” (148). Those details that “are reputed to *denote* the real directly” in realist fiction instead merely imply or “*signify*” the real (148). Eliot’s references to stone jugs do not reproduce stone jugs. Instead they enact a drama in which quotidian objects like stone jugs come to stand for reality. Such details, Barthes suggests, “say nothing but this: *we are the real*” (148). The “contingent contents” of reality constantly give way in realist fiction to their aesthetic “effect” (148). Realism’s modesty and deference before the real merely mask its deeper ambitions and aggression: realism does not represent reality so much as redefine it.

REALISM’S POLITICS

If literary historians have generally agreed that realism is the preeminent literary mode of the bourgeoisie, they have come to widely divergent conclusions about what realism had to say about bourgeois social life and about how it participated in the various social developments it documented. Realist fiction would seem to give expression to all of the complications of the CLASS most clearly identified with the capitalist marketplace and its processes of what the Austrian economist Joseph Schumpeter calls “creative destruction” (81). There is a straightforward sense at least in which realism casts itself as an oppositional and disruptive discourse. In substituting grimy details for exalted ideals, it cannot help but make the ideals look somewhat dishonest. When Eliot not only represents an uninspired clergyman but also goes so far as to identify the “precious quality of truthfulness” with such mediocrities, she raises the prospect that the virtues of the Victorian clergy might be largely illusory (chap. 17).

Even when realists set out to affirm social ideals rather than undermine them, moreover, literary historians detect crucial coun-

tervailing crosscurrents coursing through their work. Lukács acknowledges that Balzac was so politically conservative that the author could not properly understand the social and economic forces he represented in his novels: “Balzac did not see this dialectic of objective economic evolution and, as the legitimist extoller of the aristocratic large estate that he was, he could not possibly have seen it” (38). But for Lukács, Balzac’s “deep understanding of real conditions” inevitably led him to a critical stance his own political sympathies would have precluded:

But as the inexorable observer of the social history of France he did see a great deal of the social movements and evolutionary trends produced by [the] economic dialectic of the smallholding. Balzac’s greatness lies precisely in the fact that in spite of all of his political and ideological prejudices he observed with incorruptible eyes all contradictions as they arose, and faithfully described them. (38–39)

In this schema, insofar as realism is simply identified with the suspension of the ideological it is also simply identified with the cause of social transformation (see *IDEOLOGY*). To represent capitalism is to represent its contradictions, and to represent its contradictions is to point the way to a better future. Realism itself enlists its practitioners in the cause of a reform they need never outwardly endorse.

“Incorruptible eyes” mark an almost impossibly high standard for a social critic, needless to say, and the notion that the mere recognition of capitalism’s contradictions will necessarily generate a brighter future might now seem unduly optimistic. But literary historians following in Lukács’s wake have often located emancipatory tendencies in realism without needing to trace them to such suspect origins. For Jameson, realism’s basic focus on the domain of the

contingent detail, its dramatization of the relationship between the contingent and the necessary, leads it to challenge the notion that the bourgeois order is in any way inevitable. Jameson does not think that Balzac’s representation of “social movements” and “evolutionary trends” itself entails a critique of the “economic dialectic of smallholding” (Lukács, 38). But he does think that the author’s “narrative register” presents accounts of these movements and trends which “offer” them “to us as merely conditional history” (169). Balzac’s narrative techniques “transform the indicative mode of historical ‘fact’ into the less binding one of the cautionary tale and didactic lesson,” and what Jameson considers the “tragedy” of capitalist development is thereby “emptied of its finality, its irreversibility, its historical inevitability” (169). Noting capitalism’s contingency might seem less immediately subversive than revealing its contradictions, but in both schemes, Lukács’s and Jameson’s alike, realism opens capitalist social order to the prospect of radical redefinition.

But, just as Schumpeter’s famous formulation associates capitalism as much with centripetal creative authority as with centrifugal destructive effect, realism seems to offer a conservative tug to accompany its critical push. “The realist writer,” explains Leo Bersani, “is intensely aware of writing in a context of social fragmentation” (60). But for Bersani, realism does not expose this fragmentation or glory in the prospects for political transformation it might seem to offer; instead, it mitigates its effects. Social fragmentation appears in realism only against the backdrop of a deeper sense of order: “The realistic novel gives us an image of social fragmentation contained with the order of significant form—and it thereby suggests that the chaotic fragments are somehow socially viable and morally

redeemable" (60). If Lukács's realism makes radicals even out of the ideologically conservative, Bersani's realism renders the seemingly radical nothing more than the agents of social order. The point is not that realist novels represent a conservative and staid social world; it is rather that they "serve" in the production and maintenance of that world, and that they do so even when they would seem to be dwelling on bourgeois society's least stable features. Realism's iconoclastic surface merely obscures a "secret complicity between the novelist and his society's illusions about its own order" (63).

Critics operating under the influence of the French historian Michel Foucault have extended this point. D. A. Miller notes that the realist novel often seems to take the maintenance of bourgeois social order as its explicit subject matter. As he puts it, "discipline" and the institutions through which it is disseminated—schools, police stations, courts, orphanages, and the like—provide the realist novel "with its essential 'content'" (18). But Miller also insists that the realist novel does not merely represent discipline in its various modes of nineteenth-century operation. It also "*belongs* to the disciplinary field that it portrays," which means that the realist novel's thematic embrace of instability will always coincide with its formal resolution of the putative crises it addresses (21). The realist author "inflects 'the social problem novel,'" Miller explains, "so that any 'problem' is already part of a more fundamental social solution: namely, the militant constitution and operation of the social field as such" (116). Realists may well tend to be skeptical about the value of this conservative process, but even when they go as far as to condemn militant efforts to maintain social order, they nonetheless participate in them: "Whenever the [realist] novel censures policing power, it has already reinvented it, in

the very practice of novelistic representation" (20). For Bersani and Miller, the realist novel would seem to reaffirm social order in the act of challenging it, but for Lukács and Jameson it challenges the social order in the act of reaffirming it.

In one respect, this divergence of opinion simply marks yet another chapter in the longstanding and interminable critical battle over the extent and limit of art's critical relationship to the broader culture from which it emerges. But in another respect the two sides seem less to be arguing with one another than emphasizing different features of the same essentially double-edged structure: all four critics distill realism from a complicated play of fragmentation and retrenchment. We should hardly be surprised to find curious combinations of stability and subversion in a privileged representational form of a socioeconomic system whose "essential" mode of functioning, at least according to Schumpeter, depends upon "incessantly revolution[izing] . . . *from within*" (83).

REALISM'S LEGACIES

Toward the end of the nineteenth century, realism gradually fell from its preeminent position in the European and American novel, as it was displaced first by NATURALISM and later by MODERNISM. The naturalism arising from the works of Émile Zola, Thomas Hardy, Stephen Crane, Theodore Dreiser, and Frank Norris was in many respects an evolutionary outgrowth of realism. However, there are important differences between the two projects. While the realist focused on what Lukács called "social interconnection" and the various forms of "necessity" to which it gave rise, the naturalist often seemed to dwell on more purely physical and scientific forms of connection and necessity. "We picture the world as

thick with conquering and elate humanity,” explains the narrator of Crane’s “The Blue Hotel” (1898), a story set in a Nebraskan blizzard, “but here, with the bugles of the tempest pealing, it was hard to imagine a peopled earth. One viewed the existence of man then as a marvel, and conceded a glamour of wonder to these lice which were caused to cling to a whirling, fire-smote, ice-locked, disease-stricken, space-lost bulb” (1984, *Crane: Prose and Poetry*, 822). The shift from realism’s “defined historical and social setting” to naturalism’s heavily marked biological world of disease and lice is significant. At worst, it might mark a departure from the various forms of contingency that so appeal to Jameson. If realism revealed that “evolutionary trends” had their origins in “social” developments over which persons might exert some control, naturalism might seem to restore to such developments their “finality,” “irreversibility,” and “historical inevitability.” As Lukács would make the point, insofar as Zola’s “most sincere and courageous critique of society” proceeded from a “scientific” conception that led him to “identify mechanically the human body and human society,” that critique remained “locked into the magic circle of progressive *bourgeois* narrow-mindedness” (86–87). Whether this is an entirely accurate account of the way in which naturalists addressed the relationship between biological and social forms remains an open question. The naturalist identification of social order with biological necessity is often highly provisional: when “The Blue Hotel” ends by raising the question of whether its events result from individual acts or a social “collaboration” (827), Crane represents that collaboration both as something like a social choice (“We, five of us, have collaborated in the murder of this Swede,” 827) and as a collective process so impersonal as to be almost wholly naturalized (the murder was

merely “a culmination, the apex of a human movement,” 828). And in light of this uncertainty the continuities between naturalism and realism are likely to take on a greater salience. Naturalism may have complicated realism’s resolutely social calculus with potentially extrapersonal factors, but it nonetheless retained, and indeed extended, realism’s persistent interest in exploring the ways in which human subjects might be said to be “embedded,” to use Auerbach’s term, in a “total reality” or “physical atmosphere” (463, 473).

If naturalism can be configured as an organic development of realist considerations and principles, however, modernism would initially seem to involve an outright rejection of them. Realism openly proclaims its dependence upon representational transparency. It is “done with the conviction,” writes Auerbach, “that every event, if one is able to express it purely and completely, interprets itself and the persons involved in it far better and more completely than any opinion or judgment appended to it could do” (486). Modernism would seem to hinge on more formal and self-referential considerations. “The positivist aesthetic of the twentieth century,” writes art and cultural critic Clement Greenberg, “refuses the individual art the right explicitly to refer to anything beyond its own realm of sensations” (274).

But there is a sense in which even modernist self-referentiality is little more than an extension of the simple realist premise that successful art consists in “the truthful treatment of material.” When Eliot claims to present life as it is and not as it “never [has] been and never will be,” she offers not the world itself but “men and things as they have mirrored themselves in my mind” (chap. 17). Art cannot offer the world. It can only offer art: images, pictures, representations. This is why Howells can find himself in the odd position of celebrating

realism precisely because it sustains “the illusion in which alone the truth of art resides” (967). From this vantage, modernist FORMALISM emerges as a way of avoiding the illusions of art, even, or especially, the illusions of realistic art. Presenting only itself, in its formal and material specificity, the modernist novel completes the realist project of avoiding deception as much as it abandons it. Greenberg would note that even as the formalist imperatives of modernist aesthetics seem to “override . . . nature almost entirely,” nature remains “indelibly” “stamped” even on the most abstract modernist works: “What was stamped was not the appearance of nature, however, but its logic” (272). The art that abandons realist representational ambitions, namely the appearance of nature, nonetheless carries out the realist aesthetic ambition of presenting reality in the logic of nature, or the reality of the aesthetic object itself. Perhaps this is why the realist considerations remain a vital part of the novelistic practice of many leading modernists, such as E. M. Forster, Joseph Conrad, John Dos Passos, Ernest Hemingway, and Willa Cather.

In the wake of modernist innovations, realism remains an important, if not central, feature of novelistic discourse. Realism may have ceased to be the hallmark of formally ambitious fiction, but it nonetheless served as something like the early twentieth-century novel’s default form. In addition, the realist project would loom large in a number of important twentieth-century literary movements. A vigorous social realist movement emerged in the 1930s and 1940s among American writers, such as John Steinbeck, Richard Wright, Nelson Algren, William Attaway, Betty Smith, and Wright Morris. The 1920s saw the first theorizations, in the work of Franz Roh, of MAGICAL REALISM. Dedicated to the notion that a proper realism would discover seemingly supernatural or mysterious properties inhabiting the empirical world, or that, to

use the terms of Alejo Carpentier, “the strange is commonplace, and always was commonplace,” magical realism flourished, among other places, in the Latin American novel of the second half of the twentieth century, shaping in various ways the work of such major novelists as Carpentier, Juan Rulfo, Julio Cortázar, Gabriel García Márquez, and Carlos Fuentes (104).

Realism survived even the mid-twentieth-century rise of postmodernist aesthetic ambitions. According to Tom Wolfe, “by the mid-1960s the conviction was not merely that the realistic novel was no longer possible but that [modern] life itself no longer deserved the term *real*” (1989, 49). But by the mid-1980s many leading American writers were associated with the practice of what editor Bill Buford calls “dirty realism.” His description of the fiction of writers like Tobias Wolff, Raymond Chandler, Richard Ford, Jayne Anne Phillips, and Frederick Barthelme almost directly follows Auerbach’s account of “the modern realism” of the nineteenth century. What Auerbach called the “foundations” of modern realism—namely “the rise of more extensive and socially inferior human groups to the position of subject matter for problematic-existential representation, on the one hand; on the other, the embedding of random persons and events in the general course of contemporary history, the fluid historical background” (491)—remain foundational in Buford’s dirty realism, comprising as it does “unadorned, unfurnished, low-rent tragedies about people who watch day-time television, read cheap romances, or listen to country and western music . . . drifters in a world cluttered with junk food and the oppressive details of modern consumerism” (4). All the same, by the end of the twentieth century it was very difficult to argue with the contention of *Partisan Review* editor William Phillips (1907–2002) that realism had become “just another formal device, not

a permanent method for dealing with experience" (qtd. in Wolfe, 1998, 50). Wolfe may well have been right: "The introduction of detailed realism into English literature . . . was like the introduction of electricity into machine technology. It raised the state of the art to an entirely new magnitude" (Introduction, 1). But having lifted the state of the art to that new magnitude, it gradually ceased to define it.

SEE ALSO: Definitions of the Novel, Genre, History of the Novel, Marxist Theory, Novel Theory (19th Century), Novel Theory (20th Century).

BIBLIOGRAPHY

- Auerbach, E. (2003), *Mimesis*, 50th ed., trans. W.R. Trask.
- Barthes, R. (1987), *Rustle of Language*.
- Bell, M.D. (1993), *Problem of American Realism*.
- Bersani, L. (1976), *Future for Astyanax*.
- Berthoff, W. (1965), *Ferment of Realism*.
- Buford, B. (1983), "Introduction," in *Granta* 8.
- Carpentier, A. (1995), "The Baroque and the Marvelous Real," in *Magical Realism*, ed. L. Parkinson Zamore and W.B. Faris.
- Eliot, G. (1859), *Adam Bede*.
- Greenberg, C. (1949), "The Role of Nature in Modern Painting," in *Collected Essays and Criticism*, vol. 2, ed. J. O'Brian.
- Howells, W.D. (1889), "Editor's Study," *Harper's New Monthly Magazine*, Nov.: 962–67.
- Jameson, F. (2002), *Political Unconscious*, 2nd ed.
- Lathrop, G.P. (1874), "The Novel and Its Future," *Atlantic Monthly* 34:313–24.
- Levin, H. (1957), "What Is Realism?" in *Contexts of Criticism*.
- Lukács, G. (1972), *Studies in European Realism*.
- Miller, D.A. (1988), *Novel and the Police*.
- Schumpeter, J.C. (1942, 2008), *Capitalism, Socialism, and Democracy*.
- Trilling, L. (1950), "Reality in America," in *Liberal Imagination*.
- Wolfe, T. (1973), "Introduction," in *New Journalism*.
- Wolfe, T. (1989), "Stalking the Billion-Footed Beast," *Harper's Magazine*, Nov.: 45–56.

Recognition *see* Closure

Referentiality *see* Fiction

Reflector *see* Narrator

Regional Novel

CAREN S. LAMBERT

The regional novel is based on the idea that there is a connection between a region and the literature it produces, whether one understands region to mean a distinct physical environment (from the Latin *regionem*, "boundary or district") or a part of some larger political entity (from *regere*, "to direct or to rule"). The traditional understanding of regional identity is grounded in eighteenth-century political philosophy concerning national identity, which assumes that material circumstances (climate, quality of soil, topography, natural resources) shape individual inhabitants in similar ways, producing patterns of social, economic, and political behavior. These shared patterns of behavior, in turn, form both the nation's institutions and its cultural expressions. Its theoretical basis goes back at least as far as Montesquieu's *De l'esprit des lois* (1748, *The Spirit of the Laws*), a comparative study of legal and political institutions in which he asserts that the "empire of the climate is the first, the most powerful of empires" (ed. D. W. Carrithers, 1997, 294). It continues in the work of German Romantic thinkers such as Johann Gottfried Herder (1744–1803), who maintained that folk thought was the organic root of national spirit, or William von Humboldt (1767–1835), who asserted that language is the expression of the genius of a people.

The theories of Montesquieu, Herder, and von Humboldt do not allow for nations large enough to contain significant variations in environment, folk, or language. In other words, they do not allow

for regions. In Montesquieu's opinion, what we think of as regional boundaries were also the natural boundaries for nations and their cultures. Nations that contained too much variation would find "the government of the laws" becoming "incompatible with the maintenance of the state" (278). When you have a nation as large and topographically varied as the U.S., as Alexis de Tocqueville (1805–59) puts it in *Democracy in America* (1835), the "sovereignty of the Union" is no longer natural, but instead "a work of art" (1966, trans. G. Lawrence, 167). The nation becomes, as Benedict Anderson describes it, an "imagined community," while regions remain tangible and immediate (1983, *Imagined Communities*). Regions within the imagined nation, however, are still thought of as organic, coherent, rooted in the land, and characterized by homogenous geographies and populations.

Authors who speak from this traditional regional perspective often present the region as in danger of being destroyed by national and global influences and in need of being preserved in literature. As Thomas Hardy explains in his "General Preface" to the Wessex Edition of his *Works* in 1912, his goal was to "preserve . . . a fairly true record of a vanishing life." The American poet and critic Allen Tate (1899–1979) famously described the regional literature of the Southern Renaissance (1929–53) as "a backward glance" which the South gave as it stepped into the modern world, integrating with national culture and relinquishing its regional character (1945, "The New Provincialism," *Virginia Quarterly Review*). Characters in such regional works experience what Ian Duncan calls the "collapse of a traditional distinction between horizons of knowledge," between the immediate and tangible region and the distant and intangible world, as region is assimilated into nation (2007, *Scott's Shadow*, 228). Publish-

ers and readers who understand regional writing in this way tend to judge works by their supposed authenticity, by whether they are "true" to some preexisting sense of a place. For instance, the African American author Charles Chesnutt first gained popularity for his Southern dialect writing in *The Conjure Woman* (1899), which reworked the Uncle Remus stories of Joel Chandler Harris. In later novels such as *House behind the Cedars* (1900), when Chesnutt turned to criticism of race relations in the region, he largely lost his reading audience.

The difficulty with this traditional, environmentalist conception of regions and their literature is that although regions may be rooted, regional cultures and their cultural products are mobile. Another way of conceptualizing region that takes into account not just physical circumstances but also cultural flows can best be understood using a combination of nineteenth-century literary criticism, late nineteenth- and early twentieth-century anthropology, and late twentieth-century cultural geography. The idea that literature reflects cultural flows has its origins in *Histoire de la littérature anglaise* (1863, *History of English Literature*) by the French critic Hippolyte Taine (1828–93). As Brad Evans points out, Taine presents literature as "a material artifact of the history of a people's origins and migration, of cross-cultural contact, conflict and acculturation, of the permanency and change of their character" (2005, *Before Cultures*, 89). Later in the century, anthropologists including Franz Boas (1858–1942), Melville Herskovits (1895–1963), and Fernando Ortiz (1881–1969) also began to move away from Matthew Arnold's (1822–88) idea of a singular Culture comprised of the best that has been thought and said, and toward cultural relativism and a conception of plural cultures. Together, Taine and the anthropologists offer a useful formulation for understanding literature both in the

colonized Americas and the imperial nations of Europe, which did not contain a singular folk and to which cultural artifacts often traveled independently of the folk with which they originated. From the 1970s on, cultural geographers such as Henri LeFebvre (1901–91) have drawn upon cultural theory, anthropology, sociology, and philosophy to move beyond the organic assumptions of traditional regionalism and to discuss the way in which cultures produce the spaces they inhabit for specific ideological ends.

This second regional perspective presents regional identity as something continuously being created rather than naturalizing that identity. Regions emerge from a continuing negotiation between nature and cultures in the minds and actions of their inhabitants. Regional culture and cultural products are syncretic rather than pure, mobile rather than rooted. Literary works that belong to this cultural regional tradition tend to have faith in the positive, transformative power of new influences and the continuing flexibility of regions. They often attempt to negotiate some form of improved community for the future. George Washington Cable's *The Grandissimes* (1888) is an example of this second type of regional novel. It captures the moment at which the once Spanish, now French, colony of Louisiana passes into American hands and the mixing of languages, cultures, and races that occurs at what would seem to be a triumphant moment of standardization and nationalization.

The regional novel resembles the provincial novel, but there are important distinctions between the two which keep the categories firmly separated. As Franco Moretti points out, the term "provincial" derives from the *provinciae* of Rome in which people were subjects but not citizens. The "provinces are 'negative' entities, defined by *what is not there*," while regions are filled with highly specific cultural content (2005,

Graphs, Maps, Trees, 53). Hence provincial settings are interchangeable while regional settings are not. The greater the number of metropolitan centers a country has, the less likely it is to have a strong provincial literature. Regional novels flourish in the U.S., where provincial literature is basically absent. Both provincial and regional novels are found in the U.K., where the provinces tend to be closer to London, like the Midlands in George Eliot's *Middlemarch: A Study of Provincial Life* (1871–72). Places that are farther afield, like the Wales of Richard Llewellyn's *How Green Was My Valley* (1939), are able to differentiate themselves into regions. In the Russian tradition, Anne Lounsbury argues that provincial literature such as Nikolay Gogol's *Mertvye dushi* (1842, *Dead Souls*) dominates because highly centralized autocracy quells regionalism.

HISTORICAL DEVELOPMENT

Regional novels tend to emerge at moments of crisis within a given national tradition. They offer a means of negotiating between local, national, and international identities at moments of national expansion or disintegration. As Doris Sommer puts it, regionalism provides a distinct voice to culturally or linguistically identified groups inside unwieldy or porous nations (1999, *The Places of History*). American critics such as Judith Fetterley and Richard Brodhead have suggested that regional writing provides an outlet for the voices of women and ethnic or racial minorities who are otherwise excluded from the national literary dialogue. The balance of power in the national culture and the position of the nation within the larger international order determines who chooses to speak from a regional perspective at any given moment.

Regional novels from the eighteenth and nineteenth centuries most often belong to

the genres of historical fiction or realism. In this period, regional novels typically include ethnographic description of manners, traditions, and folklore; written imitations of dialect; an attention to landscape and natural forms; some account of the workings or structure of the local economy; and details of local history. They often have a frame structure with a narrator speaking standardized language and characters using various phonetically rendered regional and/or racial dialects. At times the narrator is a native speaking from within and concerned with the preservation of regional traditions and community in response to social conflict, fragmentation, or alienation. In other instances, the narrator is a native who feels intellectually detached from the region. In a third variation, a detached narrator comes to the region as a cultural tourist and presents it as something exotic and entertaining, ventriloquizing the local inhabitants rather than authentically representing them. In the latter two categories, the narrator typically depicts the region in order to criticize and perhaps even reform it.

The regional novel in English has its origins in Irish and Scottish regional fiction produced as Great Britain confronted the problem of how to subsume various national identities into that of a single modern imperial state. Maria Edgeworth's depiction of Irish character, speech, and folklore in *Castle Rackrent* (1800) established many of the conventions of regionalism discussed above. Walter Scott noted his debt to Edgeworth, in the 1829 preface to *Waverley*, in which he wrote about the Scottish border regions. After a mid-century move toward the provincial novel, British literature returned to regionalism in the 1870s. Writers from this period at times used regionalism as a refuge from contemporary conditions, as in the escapist historical romance of R. D. Blackmore's *Lorna Doone* (1869) or the nostalgic tone of the Scottish Kailyard writer

J. M. Barrie. Other authors adopted the regional novel in order to challenge contemporary conditions, as in Thomas Hardy's ironic reworking of Scott's historical regionalism, in *The Mayor of Casterbridge* (1886).

With the rise of Scott, British regional novels became part of global literary culture, influencing not only European traditions but New World literatures as well. Regionalism as a genre was rooted in the Old World and yet flexible enough to be transplanted to the New World, providing romantic nationalists in the Americas with a model for producing colonial literatures with national potential. Representing New World difference became a cultural declaration of independence. David Jordan argues that the Latin American *novela de la tierra* is a richer regional tradition than that found in North America and one with no pejorative connotations, unlike "local color" in the U.S.

Scott's novels were widely read in the nineteenth-century U.S., where the lack of international copyright laws meant that they were less expensive than domestically produced literature, making regionalism a form readily available to American authors. They helped pave the way for the earliest regional writings of Augustus Baldwin Longstreet, George Washington Harris, and Bret Harte, which were short stories in dialect drawing on native traditions of southwestern humor and the tall tale as well as later full-fledged Southern regional novels such as Mark Twain's *The Adventures of Huckleberry Finn* (1885). Feminist critics trace a different trajectory for the regional novel in the U.S. beginning with Harriet Beecher Stowe's *The Pearl of Orr's Island* (1862), which the nineteenth-century regional writer Sarah Orne Jewett identified as a formative influence on her own writing. Regional writing in the U.S. reached its height in the period following

reconstruction, from 1877 through 1900, mostly thanks to the publication of short regional writings in periodicals including the *Atlantic Monthly*, *Harper's*, *Century*, and *Scribner's*. Critics such as Richard Brodhead and Amy Kaplan emphasize the way in which depicting the "foreign" regional helped to familiarize it and contributed to the reconstruction of the nation after the Civil War.

Twentieth-century regionalists use more experimental forms but retain their careful attention to distinctive local patterns of speech and their familiarity with local traditions and knowledge. The decision of the American modernist Willa Cather to dedicate her first novel, *O Pioneers!* (1913), to Sarah Orne Jewett shows one of the most prominent American modernists specifically thinking of herself as part of a regional tradition. Consider the combination of pioneering modernist form and detailed portrayal of local life in James Joyce's *Ulysses* (1922) or William Faulkner's *As I Lay Dying* (1930). In South America, the late nineteenth and early twentieth centuries saw the rise of avant-garde regionalists such as José Eustasio Rivera in Colombia, Romulo Gallegos in Venezuela, and Ricardo Güiraldes in Argentina. The magical realism pioneered later in the twentieth century by Gabriel García Márquez also has a strong regional bent. Examples of postmodern regionalism include works by the Mexican writer Carlos Fuentes, such as *La region más transparente* (1956, *Where the Air Is Clear*) and *Las buenas conciencias* (1959, *The Good Conscience*), and the Western novels of Cormac McCarthy, such as *Blood Meridian* (1985).

SEE ALSO: Anthropology, Dialect, Historical Novel, Intertextuality, Magical Realism, Modernism, National Literature, Naturalism.

BIBLIOGRAPHY

- Brodhead, R. (1993), *Cultures of Letters*.
 Dianotto, R. (2000), *Place in Literature*.
 Draper, R.P., ed. (1989), *Literature of Region and Nation*.
 Fetterley, J. and M. Pryse (2003), *Writing Out of Place*.
 Foote, S. (2001), *Regional Fictions*.
 Jordan, D., ed. (1994), *Regionalism Reconsidered*.
 Joseph, P. (2007), *American Literary Regionalism in a Global Age*.
 Kaplan, A. (1993), "Nation, Region, Empire," in *Columbia History of the American Novel*, ed. E. Elliott.
 Karem, J. (2004), *Romance of Authenticity*.
 Lounsbury, A. (2005), "'No, this is not the provinces!' Provincialism, Authenticity, and Russianness in Gogol's Day," *Russian Review* 64: 259–80.
 Lutz, T. (2004), *Cosmopolitan Vistas*.
 Snell, K.D.M., ed. (1998), *Regional Novel in Britain and Ireland, 1800–1990*.

Religion

VINCENT P. PECORA

Received wisdom of the twentieth century tells us that the concepts "religion" and "novel" are mutually exclusive. That the novel is a powerful reflection and instrument of secularization is a truism. As Jack Goody writes, at the start of what may be the most ambitious anthology so far to circumscribe the novel transnationally, "The modern novel, after Daniel Defoe, was essentially a secular tale, a feature that is comprised within the meaning of 'realistic.' The hand of God may appear, but it does so through 'natural' sequences, not through miracles or mirabilia. Earlier narrative structures often displayed such intervention, which, in a world suffused by the supernatural, was present everywhere" (1:21). The division in European fiction for Goody—as for so many before him—is between, on the one

side, mythic classical ROMANCES, such as Apuleius's *The Golden Ass* (ca. 100–200 CE), the saints' lives of the Middle Ages, and exemplary tales such as John Bunyan's *Pilgrim's Progress* (1678), and on the other side naturalistic fictions such as Daniel Defoe's *Robinson Crusoe* (1719–22), which often elaborated upon current events and assumed the characteristics of print reportage (see JOURNALISM). (In such accounts, it is important that the etymology of *novel* is “news,” the sort of diplomatic information that appeared in broadsheets in the late fifteenth century along with the printing press, but eventually included stories like the shipwreck of Alexander Selkirk and other castaways.)

THE SECULARIZATION THESIS

Whether one looks at Goody's account or at those of Ian Watt, Michael McKeon, or Benedict Anderson, one finds a well-engrained family of ideas: the fifteenth-century advent of printing (see PAPER AND PRINT) coincided with the scientific revolution and the rationalized religion of the Protestant Reformation, which eventually enabled the invention of the nation-state, civil society, and capitalism during the eighteenth-century Enlightenment. The novel appears in the English-speaking world at the crossing of what Hans Blumenberg called an epochal threshold separating the religious worldview of medieval Catholicism and a secular, or least Protestant, worldview defined by an unknowable divinity, an inward spirituality, and a desire for worldly achievement, individual self-assertion, and instrumental morality. This is the story of Western secularization, and even in globally focused projects it determines how the novel is understood. Most of it could be traced to Max Weber, who also subtly reflects how we interpret historical changes

within the novel. Franco Moretti calls “fillers” the expansion of mundane passages of conversation or description in the realistic novel in which nothing seems to happen; Honoré de Balzac's *Illusions perdues* (1837–43, *Lost Illusions*), George Eliot's *Middlemarch* (1871–72), and Thomas Mann's *Buddenbrooks* (1901) are apparently full of them. “Fillers are an attempt at *rationalizing the novelistic universe*: turning it into a world of few surprises, fewer adventures, and no miracles at all” (1:381). By this measure, we could say that all of Henry James is one long filler. People still go to church in Henry Fielding; Laurence Sterne adapted his own sermons for *Tristram Shandy*. But the thesis of the secularizing novel pays little attention to such topical embellishments. Since the novel, in this view, is the aesthetic exemplification of the deists' universe of the *deus absconditus*, it is not surprising that scholars like Martha Nussbaum (who sees the novel as the elaboration of secular moral philosophy) and Lynn Hunt (who locates the invention of compassionate human empathy—surprisingly for those familiar with the great world religions—in eighteenth-century EPISTOLARY novels such as Samuel Richardson's *Clarissa*, 1747–48) describe the novel as the foundation of modern secular morality.

This last claim heaps much ethical, political, and metaphysical weight onto the shoulders of what is after all a mere literary convention, and might suggest that for many of its early readers, the novel was a secular substitute for diminishing religious feeling—or what Blumenberg calls a “formal reoccupation” of now “vacant” theological “answer positions” (69). In fact, the Weberian interpretation of the GENRE is to be found less in Weber himself than in his contemporary interlocutor, the Hegelian (and later MARXIST) philosopher Georg LUKÁCS. For the early Lukács, the novel was the supreme representation of nostalgia for

the “immanence” of meaning once supplied by religion. Lukács’s novel is a secularized epic, and he specifies what “answer position” the novel has come to reoccupy: “The novel is the epic of a world that has been abandoned by God” (88). The novelist’s irony, “with intuitive double vision, can see where God is to be found in a world abandoned by God” (92). Lukács subtly reworks the perspective of G. W. F. Hegel, who elaborates the novel—most obviously the *BILDUNGSROMAN* of Johann Wolfgang von Goethe’s *Wilhelm Meisters Lehrjahre* (1795–96, *Wilhelm Meister’s Apprenticeship*) and its sequel—as exemplifying the unfortunate way irony dominates modern culture (see *MODERNISM*). What was fatally missing in the novel, Hegel claimed, was *earnestness*, which means that the novel lacks all capacity for *EPIC* achievement or forms of understanding that transcend the quotidian pursuits of everyday life. Lukács turned Hegel’s criticism of the novel’s formal failing into a melancholy commentary on its spiritual homelessness. “The novel is the form of the epoch of absolute sinfulness,” Lukács wrote, and the novel’s irony negatively illuminated culture’s profound longing for a world redeemed from its sublunary bad faith and emptiness (152).

Erich Auerbach produced the great and still unparalleled *summa* of the novel’s career as the genre of secularization. Auerbach’s focus is narrative form broadly conceived, including drama and verse. But it is the novel that occupies most of his attention after Miguel de Cervantes Saavedra’s *Don Quixote* (1605, 1615), and that most fully embodies Auerbach’s primary thesis. Yet this thesis depends on a notion of secularization more evident in Lukács (and throughout Hegel’s work) than in the later criticism of Watt, McKeon, Moretti, et al. Auerbach’s sympathetic, non-systematic perspective is the final product of the long development of Christian human-

ism in Europe, beginning in what Auerbach discerns as the mixture of styles and the imaginative sympathy granting tragic sublimity to the lowest social orders in the Gospel of Mark (a sympathy absent in Homer, Tacitus, and Petronius, and generally available only in stylistically appropriate comedy throughout Antiquity). Auerbach rooted this stylistic confusion in the story of Christ’s human incarnation amid the humblest of circumstances and in the earlier Jewish idea of universal history in which the sublime and everyday could be united (as in the story of Abraham and Isaac). Auerbach regarded the nineteenth-century novel’s “revolution against the classical doctrine of levels of style” (or “*DECORUM*,” for Horace”) as simply one revolt among many in the Western literary history (554). Auerbach made clear “when and how this first break with the classical theory had come about. It was the story of Christ, with its ruthless mixture of everyday reality and the highest and most sublime tragedy, which had conquered the classical rules of styles” (555). The demise of the stylistically hierarchic thus accompanies—or rather, generically records and compels—the demise of the spiritually hieratic. As has been the paradoxical case for numerous historians and sociologists of religion, the story of secularization that becomes the story of the novel actually begins for Auerbach with the story of Christ.

RELIGION, ROMANCE, AND REFORMATION

Alternatives to this history of the novel as secularization—implying either a break with the religious past (as in Goody) or a translation of religious into secular motifs (as in Auerbach)—have long been available. G. A. Starr and J. Paul Hunter emphasize the religious sources of Defoe’s seminal novel—the first in broadly Christian terms, the

second as Puritan (Bunyanesque) guide—in which spiritual quest, pilgrim allegory, and typological thinking predominate. For them, *Robinson Crusoe* (1719–22) is as much spiritual autobiography as proto-capitalist adventure—a conflation that would hardly have surprised Weber. Though neither Starr nor Hunter places “romance” at the novel’s rise, they nevertheless highlight characteristics of *Robinson Crusoe*—the work often considered the model for the “realistic” novel—that reflect the techniques of romance writing. A genre with classical origins and the mythic motifs (see MYTHOLOGY) of quest, ritual, archetype, and symbolic (or allegorical) action, romance becomes for others the template that rivals Lukács’s epic. Northrop Frye’s use of romance illustrates elements in the modern (post-Defoe) novel that remain anchored in religious tradition. Margaret Anne Doody emphasizes not only the generic continuity of classical and medieval romance (from Heliodorus, Apuleius, and Petronius to Giovanni Boccaccio and François Rabelais) with the modern novel (especially that of Cervantes, Richardson, Balzac, Charles Dickens, and Thomas Mann), as well as the contributions of African and Asian sources to romances of the Roman Empire, but also the self-serving nature of the distinction itself within English novels and criticism.

It is not trivial that the English novel putatively spawned by worldly travel and the quotidian entertainment of the *news* would appear to diverge from the older European tradition of the *roman* (a word meaning romance, fiction, and novel, and not only in the Romance languages but in German as well). For whatever one thinks of Doody’s debunking of the English claim to have invented the novel, the classical tradition of romance fed seamlessly into Roman Catholic (and often Platonic) traditions of romance in medieval and Renaissance literature. Even when he confronts the

grotesque satire of Christian idealism in Rabelais, Auerbach is careful to point out that Rabelais’s stylistic olio is an imitation of late medieval sermons, which were “at once popular in the crudest way, creaturely realistic, and learned and edifying in their figural Biblical interpretation,” as well as a product of Rabelais’s experience with the earthy, mendicant life-world of the Franciscans (271). (Auerbach’s point evokes that Rabelaisian modernist James Joyce, whose sermon in *A Portrait of the Artist as a Young Man* (1916), lifted with scrupulous meanness from an actual Catholic sermon manual, is a later version of what Auerbach means.)

By contrast, from the English Reformation emerged a sober anti-Platonism, a rejection of the vivid imagery of medieval Catholic cosmology (as found in Dante), and the tailoring of the spiritual-amorous quest (filigreed with colorful symbolism in a verse romance like Guillaume de Lorris and Jean de Meung’s *Roman de la Rose*, mid-to late thirteenth century) to fit the far more pedantic and ham-handed allegory of *Pilgrim’s Progress*. Despite Defoe’s affinity with Bunyan, a national Protestantism bequeathed to the English novel a far less *romance*-oriented and religiously oriented sensibility. Even when bitterly satirized, religious feeling is elaborated by the French novel in striking, exotic, and intimate detail. Nothing in Jane Austen, Dickens, or George Eliot—despite the latter’s Dorothea Brooke in whom, unlike her uncle, “the hereditary strain of Puritan energy . . . glowed alike through faults and virtues” (Eliot, 6)—remotely approaches the religion haunting Gustave Flaubert’s *Emma Bovary*. And nothing in the English novel would allow a reader to understand what Flaubert does with religion in *Trois contes* (1877, *Three Tales*), *Salammbô* (1862), and most of all in his dramatic novel, *La tentation de Saint Antoine* (1874, *The Temptation of St. Anthony*), on

which Flaubert labored throughout his life in the face of his friends' ridicule. By 1876, Richard Wagner's mythic opera cycle, *Der Ring des Nibelungen*, and his retelling of the Grail legend, *Parsifal*, were being embraced on the Continent. Despite the undeniable Christianity of his sensibility, Dickens's characters no longer go to church, even on Sundays, and they almost never discuss religion.

THE RETURN OF THE REPRESSED

Unsurprisingly, the two-volume, 2,000-page English version of Moretti's *The Novel* devotes only trivial, passing remarks to the greatest religious novel yet written—Fyodor Dostoyevsky's *Brat'ya Karamazov* (1880, *The Brothers Karamazov*), of which the "Grand Inquisitor" chapter is the single most important literary reflection on religion in modernity, a text equal to (and perhaps influencing) the late writings of Friedrich Nietzsche. Dostoyevsky's engagement with Russian Orthodoxy is very different from Flaubert's with Roman Catholicism, but one cannot discount the roles of these two writers in creating the formal and thematic foundations of the twentieth-century novel. Lukács pointed beyond the bitter disillusionment of Leo Tolstoy's realism toward the future impact of Dostoyevsky, who he claimed "did not write novels," and who promised an escape from the "age of absolute sinfulness" (152–53; see DEFINITIONS). Apart from vexed questions about the persistence of romance, the European novel after (or despite) the flowering of NATURALISM in the nineteenth century, and the concomitant rise of symbolism in poetry, recovered much that was central to religious sentiment and its mythic, archetypal, symbolic, and allegorical machinery: Joris-Karl Huysmans's *À rebours* (1884, *Against Nature*; stimulated by Flaubert's religious exoticism, and called fatal to nat-

uralism by Émile Zola), Oscar Wilde's *The Picture of Dorian Gray* (1890), Thomas Hardy's *Tess of the D'Urbervilles* (1891) and *Jude the Obscure* (1896), André Gide's *L'Immoraliste* (1902, *The Immoralist*; which Gide traced to Dostoyevsky, about whom he wrote at length) and *La Symphonie pastorale* (1919, *The Pastoral Symphony*), Joyce's *A Portrait of the Artist as a Young Man*, *Ulysses* (1922), and *Finnegans Wake* (1939) (in all three of which there is not one "filler"), Mann's *Der Tod in Venedig* (1913, *Death in Venice*), *Der Zauberberg* (1924, *The Magic Mountain*), and *Doktor Faustus* (1948), Albert Camus's *L'Étranger* (1942, *The Stranger*), *La Peste* (1948, *The Plague*), and *La Chute* (1957, *The Fall*), and most perplexingly yet deeply religious of all, the entire corpus of Franz Kafka (1883–1924). In praising *Das Schloss* (1926, *The Castle*), Mann called Kafka "a religious humorist"; the phrase may be applied broadly to the novelists of Kafka's era (x). (That much of this modernist work reveals powerful homosexual impulses may be one interesting consequence of the novel's rejection of the earlier Protestant, everyday sobriety that Moretti emphasizes.) This may be the revenge—or better, the Heideggerian *Verwindung*, the spiritually distorted return—of religious romance (see Vattimo, 172, 179; Pecora, 20–23). Its effects can be felt to the end of the century, in the MAGICAL REALISM of Gabriel García Márquez, whose deeply Marxist *Cien años de soledad* (1967, *One Hundred Years of Solitude*) is simultaneously profoundly shaped by the syncretistic peasant Catholicism of fictional Sulaco, and of Salman Rushdie's *The Satanic Verses* (1988), a novel (perhaps a romance?) in which Islam is given a formal and thematic centrality—always the Achilles' heel of satire—never before seen in English novels. It may yet turn out that the quotidian, rationalized, often Protestant, and apparently secular novel that began with Defoe came to

a halt with Zola, and that “the novel” as so many continue to see it will soon be understood as no more than a two-century aberration in literary history.

SEE ALSO: Comedy/Tragedy, Gothic Novel, History of the Novel, Novel Theory (20th Century), Realism.

BIBLIOGRAPHY

- Anderson, B. (1983), *Imagined Communities*.
 Auerbach, E. (1974), *Mimesis*, trans. W. Trask.
 Blumenberg, H. (1985), *Legitimacy of the Modern Age*, trans. R. Wallace.
 Doody, M.A. (1997), *True Story of the Novel*.
 Eliot, G. (1968), *Middlemarch*.
 Frye, N. (1976), *Secular Scripture*.
 Goody, J. (2006), “From Oral to Written,” in *Novel*, ed. F. Moretti, 2 vols.
 Hunt, L. (2008), *Inventing Human Rights*.
 Hunter, J.P. (1966), *Reluctant Pilgrim*.
 Lukács, G. (1971), *Theory of the Novel*, trans. A. Bostock.
 Mann, T. (1974), “Homage,” in F. Kafka, *Castle*, trans. W. and E. Muir.
 McKeon, M. (1987), *Origins of the English Novel, 1600–1740*.
 Moretti, F. (2006), “Serious Century,” in *Novel*, ed. F. Moretti, 2 vols.
 Nussbaum, M. (1992), *Love’s Knowledge*.
 Pecora, V.P. (2006), *Secularization and Cultural Criticism*.
 Starr, G.A. (1965), *Defoe and Spiritual Autobiography*.
 Vattimo, G. (1988), *End of Modernity*, trans. J. R. Snyder.
 Watt, I. (1957), *Rise of the Novel*.
 Weber, M. (1992), *Protestant Ethic and the Spirit of Capitalism*, trans. T. Parsons.

Reprints

MEREDITH L. MCGILL

Distracted, perhaps, by novels’ own claims to novelty—what Ian Watt has identified as

the form’s primary criterion of “truth to individual experience . . . which is always unique and therefore new” (1957, *The Rise of the Novel*, 13)—or by the novel’s long association with the news, ephemera, and fashion (see JOURNALISM), literary critics often fail to account for the role of reprinting in the history of the GENRE. Bibliographers and collectors overwhelmingly privilege first editions, despite the fact that later editions were often more valued by authors, printers, and readers, owing to the correction of errata. (Benjamin Franklin’s witty epitaph for himself imagines his body reissued after death “In a new and more elegant Edition/Revised and corrected/By the Author.”) Even Franco Moretti’s experimental, quantitative account of the rise and fall of the novel across a number of national traditions measures only the production of new novels, not reprinted ones (2005, *Graphs, Maps, Trees*). Despite the emphasis critics place on first editions, the small print runs of novels in the 1700s and early 1800s, which James Raven estimates averaged 500–750 copies, suggest that any novel that gained significant purchase with readers in this period did so by virtue of successive waves of reprinting. Taking reprinting seriously as a factor in the history of the novel can illuminate the cultural life of individual works—both the pace of a novel’s initial acceptance by its readers and the strength and nature of its explanatory power long after the time in which it was written. Reprinting also helps to explain how the fortunes of the genre have been tied to expanded literacy and the demand for cheap reading (see PUBLISHING). Along with TRANSLATION, ADAPTATION, and abridgment, reprinting is one of the primary ways in which publishers target new audiences for novels. Although we have become accustomed to tight control over intellectual property, throughout most of the novel’s history the uneven global distribution of intellectual

property rights allowed for significant experiments in unauthorized reprinting (see COPYRIGHT). NATIONAL literary traditions have been more influenced by reprinted foreign novels than nationally framed literary criticism is generally willing to acknowledge.

A tremendous amount of what we ordinarily think of as printing is, technically, reprinting, defined as the resetting of type—i.e., printing not from manuscripts, but from already printed texts (see TYPOGRAPHY). Prior to the development and popular use of stereotype and electrotype technologies in the early 1800s, publishers who sought to profit by publishing multiple editions of a work were forced to incur the considerable cost of recomposing the text (see PAPER AND PRINT). While pages that were difficult to set up, such as title pages, might be left in standing type in anticipation of further printings, publishers frequently found themselves scrambling to meet unanticipated demand for a particular work, hiring compositors to reset the text not long after the first edition had left the printshop. The history of reprinting of a particular novel can offer a good index of the time lag between initial publication and popular acceptance. For instance, Daniel Defoe's *The Life and Strange Surprising Adventures of Robinson Crusoe* (1719–22) was reprinted three times in the four months following its initial London publication, with three more editions following in the next six years, along with numerous abridgments, sequels, and translations. By contrast, Raven estimates that close to two-thirds of English novels first published between 1770 and 1800 never saw a second edition.

A history of reprinting can also offer considerable insight into a publisher's projections for a work. For instance, while Nathaniel Hawthorne's publishers assumed that *The Scarlet Letter* (1850) would do well, printing an uncharacteristically large

edition of 2,500 copies, popular demand for Hawthorne's controversial "Custom House" introduction outstripped supply, prompting Ticknor & Fields to reset the type and to reprint another 2,500 copies within two months of the first publication. Still unaware that they had an incipient classic on their hands, Ticknor & Fields neglected at this time to invest in stereotype plates, and thus were forced to pay to reset the type for a third time just four months later when they finally stereotyped the book.

Reprinting is fundamental to the internal dynamics of the printshop, testifying to publishers' careful calculations about supply and demand for printed works. It has also long been a crucial factor in the regional, national, and international circulation of print. It was Scottish reprinters such as Alexander Donaldson (1727–94) who forced the courts in *Millar v. Taylor* (1769) and *Donaldson v. Becket* (1774) to define the nature and limits of British copyright law. English publishers largely ignored Scottish reprinters, who supplied their home market with cheap reprints of English texts, until Donaldson brazenly opened a shop in London in 1763, undercutting London booksellers by as much as 30–50 percent. The copyright case that bears Donaldson's name served as a turning point in British law, establishing copyright as a statutory right of limited duration (rather than a perpetual right under the common law), instantly transforming many of the most valuable English works from private into public property. The sudden availability for reprinting of texts by long-dead authors such as William Shakespeare and John Milton, and more recent texts by Daniel Defoe, James Thomson, and Henry Fielding arguably helped popularize the very notion of classic texts in English. In the wake of *Donaldson v. Becket*, literary works with expired copyrights joined early modern steady-sellers such as the Bible, catechisms, and primers as books that could be freely

reprinted in a variety of editions for a wide range of potential readers. The first successful English reprint series was John Bell's *Poets of Great Britain* (1777–92), which ran to 109 volumes and sold for one shilling and sixpence each. This venture was soon followed by reprint series that featured English and foreign novels, such as James Harrison's *The Novelist's Magazine* (1779–88) and John Cooke's *Select Novels* (1793–95). Harrison's series of 23 volumes, which sought in its format and title to capitalize on the connection between the genre of the novel and the currency of the magazine, printed entire works by Fielding, Samuel Richardson, Oliver Goldsmith, Tobias Smollett, Laurence Sterne, and Eliza Haywood, along with translated continental fiction by authors such as Voltaire and Johann Wolfgang von Goethe. Cooke's pocket-size sixpenny volumes and Harrison's series helped consolidate a canon of respectable novels by making selected works affordable for readers outside the bounds of the circulating libraries (see LIBRARY).

Reprinting works that had fallen out of copyright protection had by the nineteenth century become an important segment of the trade, enabling both highbrow ventures such as the handsomely bound, fifty-volume series *The British Novelists* (1810), prefaced by a substantial introductory essay on the history of the novel by Anna Letitia Barbauld, and remainder-dealer Thomas Tegg's cheap, unreliable reprints and abridgments aimed at the very bottom of the market. Over the course of the nineteenth century, the success of Tegg's reprints, and of cheap publication in England's breakaway American colony, helped to put downward pressure on the notoriously high price of English books and to widen the circle of novel-readers. After the thriving Irish reprint trade was brought under British copyright by the Act of Union (1800), closing down a vexing source of

cheap texts illegally smuggled back into England and opening the Irish market to English publishers, many of the most successful Irish publishers and tradesmen emigrated to the U.S. Irish reprinters brought to the new republic both well-honed publishing and marketing strategies and an acute sense of the vulnerability of provincial reprinting to the forces of centralized capital.

In the U.S., the publishing system was defined by reprinting from the Copyright Act of 1790 well into the twentieth century. The same law that granted copyright to American citizens and residents explicitly denied such rights to foreign authors, bestowing on American publishers an extraordinary license, that of the unrestricted republication of foreign texts. The American legal rejection of foreign authors' rights proved a boon for the circulation of British novels, which in many cases first achieved mass readership outside the boundaries of Great Britain. For instance, Clarence Brigham has noted over a hundred editions of *Crusoe* published in America between 1774 and 1830. Boston, New York, and Philadelphia publishers famously competed to be the first to reprint Walter Scott's *Waverley* novels (1814–28), setting type as soon as packet ships carrying the latest novel arrived on the docks. The success of the *Waverley* series helped American publishers establish the size of the market for popular novels. The competition to capture market share led publishers such as Carey and Lea of Philadelphia and Harper Brothers in New York to develop more efficient and ambitious printing and distribution systems, paying Scott and his publisher for advance sheets of the novels and nurturing contacts with booksellers in far-flung Southern and western cities.

By the 1840s, American authors and some publishers began to push for the passage of an international copyright law, but their efforts were blocked by tradesmen, chief

among them newly unionized typographers, who argued that stereotype technology, when combined with copyright, would give London publishers too much power over the American market. When literary nationalists protested that American authors could not compete with the flood of cheap reprints of popular British novels, members of the print trades responded with a canny analysis of the politics of book distribution, arguing that, with the backing of an international copyright law, heavily capitalized London publishers could potentially print off large American editions from British-made plates, greatly benefiting from economies of scale. Opponents of the law worried that international copyright would enable London publishers to supply books to the American market at high prices without the risk of underselling, maintaining a stranglehold on American reading. Reprint publishers contrasted the democratizing virtues of the frequent resetting of type with the dangers of centralized media, arguing that reprinting allowed for local control over the circulation of print and for a more equitable distribution of profits. In their view, multiple American editions of foreign works were not excessive or inefficient, but proof of the general diffusion of knowledge and of the benefits of competition between and among small-entrepreneur publishers. Instead of viewing the burgeoning reprint market as a sign of colonial dependency, those opposed to international copyright claimed that national values were instantiated in processes of production. One identified an American book by its physical appearance—by its cheap paper and closely set lines of type, enabling a novel that had been published in three expensive volumes to be compressed into two or one—and not by its contents or by the nationality of its author.

For most of the 1800s, international copyright advocates' appeals for the regu-

lation of the book trade through universal respect for authors' rights were no match for the realities of a decentralized American literary marketplace—the difficulty of transporting printed matter between and among scattered cultural centers; the new nation's appetite for high-culture works in mass-culture formats; and the profits to be made in an uncertain, expanding market by publishing works that had already proved popular with readers. While supporters of an international copyright law chiefly sought to bring order to the transatlantic book trade, opponents defended a system that served the publishers of newspapers, magazines, and pamphlets, as well as books. Reprinting occurred across a variety of formats: poetry and tales that were first published in expensively bound gift books reappeared as filler in local newspapers; entire novels were closely printed in double-columned pages and sold for as little as 12½ cents; and elite British magazines were reprinted in their entirety or mined for essays that were reassembled into regionally published, eclectic magazines.

While American opposition to internal copyright was successful in blocking proposed laws and treaties, it did not prevent the consolidation of publishers' power. Faced with potentially ruinous undercutting, reprint publishers developed a system of *de facto* copyright known as “courtesy of the trade,” in which a newspaper announcement of the intent to publish a foreign work informally carried the weight of a property claim. This kind of gentlemanly agreement enabled reprint publishers to invest considerable sums in stereotyped editions of foreign authors' collected works without the threat of competition. Publishers secured informal rights in foreign texts by advertising their association with a particular author and by voluntarily sending payments to foreign authors (or their publishers) to establish goodwill, to obtain advance sheets of

their books, and for the right to produce authorized editions. Such extra-legal arrangements, enforced by campaigns of retaliation when printers broke with the custom of voluntary restraint, continued to regulate the reprint trade throughout this period, despite the fact that they were unenforceable at law.

The profits to be made through authorized or unauthorized reprinting of British novels were substantial, so long as rivals could be kept at bay. During the depression of 1837–43, weekly newspapers such as *Brother Jonathan* (1842–43) and *The New World* (1840–45) engaged in cutthroat competition, reprinting popular British novels and French novels in translation on enormous folio newspaper sheets and in quarto size as “extra issues,” sold to enhance circulation of the periodical. These newspaper supplement-novels were printed in the tens of thousands, hawked on street corners, and circulated at favorable rates through the mail. While competition from better-capitalized book publishers and changes to the postal code ultimately brought an end to the cheap weeklies, they successfully demonstrated the viability of cheap printing on a massive scale—aiming for narrow profit margins on high-volume sales—in a widely literate and expanding nation. On his 1842 tour of the U.S., Charles Dickens was both thrilled and horrified to discover the extent to which unauthorized reprints of his novels had preceded him.

Dickens had included the humble and oppressed in his novels as objects of sympathy, but cheap American reprints of his fiction enabled them to be drawn into the orbit of literary culture as actual or potential readers. Dickens was warmly welcomed by his American audience: statesmen and literati staged lavish banquets in his honor, and every stage of his trip was covered obsessively by local newspapers. But the tour became something of a public-relations

disaster as Dickens’s insistence on speaking publicly on behalf of an international copyright law was met with incredulity and suspicion. Dickens seemed unaware that his popularity was a function of the system of reprinting he continued publicly to attack, while many Americans interpreted his advocacy of international copyright as mercenary and ungrateful. Dickens’s encounter with his American readers left him with an acute sense of vulnerability to the mass public which sought to embrace him.

Although in advocating foreign authors’ rights Dickens thought he was championing both his own cause and that of American novelists, crowded out of the market by foreign competition, reprinting did not simply hinder the growth of the American novel. Even as publishers such as Harper Brothers built substantial enterprises publishing uncopyrighted texts, they began to make different kinds of investments in the American texts that, thanks to copyright, they controlled outright. In addition to stimulating book production in the early republic, American copyright law’s uneven disposition of property rights did much to shape the distinctive character of American publishing. Authorized editions, complete with frontispiece portraits and facsimile signatures, became a popular way for reprint publishers to distinguish their editions. Other publishers attempted to discourage rivals by saturating the market with editions at every conceivable price point. Philadelphia publisher T. B. Peterson and Brothers, for example, advertised thirteen different octavo editions of Charles Dickens’s works bound in seven different styles, two different illustrated editions, and a “People’s Duodecimo,” available in eight different binding styles; prices ranged from \$9 to \$75 for a complete set. Reprinting also conferred a new kind of value on illustrations. While type could easily be reset, engravings were more difficult and expensive

to reproduce, enabling publishers to secure property in their texts by investing heavily in ornamental plates, a practice that Hugh Amory has called “proprietary illustration.”

Reprinting shaped the course of numerous American novelists’ careers, as authors such as James Fenimore Cooper, Nathaniel Hawthorne, Harriet Beecher Stowe, and Mark Twain sought to acquire de facto international copyright by carefully coordinating the publication of their works at home and abroad. Until the mid-1800s, it was widely assumed that prior or simultaneous publication of an American work in Great Britain would be enough to confer British copyright. However, in *Jeffreys v. Boosey* (1854) the House of Lords determined that a foreign author needed to travel to Britain in order to claim copyright protection. This ruling produced a wave of British reprints of American works and a number of strategically timed trips to London by American authors so that they could claim copyright on newly printed novels. When the House of Lords amended this ruling in 1868 to extend copyright to foreign authors who resided anywhere in the British dominions, many American novelists chose to travel to Canada during the time of their books’ London publication so as to acquire what came to be known as a “Canadian copyright.”

Although for much of the nineteenth century American publishers were caricatured as ruthless pirates of foreign works, British and European publishers also derived great benefit from the lack of international copyright. French publishers Galignani & Baudry, which specialized in providing British tourists with cheap editions of the latest London books, reprinted numerous novels by James Fenimore Cooper, themselves often copied from British reprints. German publisher Bernhard Tauchnitz (1816–95) published hundreds of volumes of British and American works

in a numbered series for circulation throughout the Continent, paying authors nominal sums for the right to advertise these volumes as “author’s editions” or “copyright editions” (some of which were actually covered by copyright in select European nations in the wake of the 1846 Anglo-German copyright agreement and other bilateral treaties). Many authors considered having a novel reprinted by Tauchnitz to be a mark of international recognition. The standardized, plain style of Tauchnitz editions made them easily recognizable across Europe, the series itself a hallmark of affordability, portability, and literary quality. Although merely a cheap reprint, the Tauchnitz edition of Nathaniel Hawthorne’s *The Marble Faun* (1860) was frequently rebound by Italian booksellers as a keepsake, including numerous photographs of artworks and landmarks mentioned in Hawthorne’s Rome as well as blank pages for tourists to paste into the novel photos they had purchased or taken on their trip (see PHOTOGRAPHY).

By far the most impressive and consequential example of an American novel’s European career was the popular reprinting of Harriet Beecher Stowe’s *Uncle Tom’s Cabin* (1852). Stowe’s novel was a runaway best-seller in the U.S., with over three hundred thousand copies sold in the first year of publication, but its domestic sales paled next to the novel’s success in Great Britain, where over a million copies were reportedly sold within a year of publication. The circulation of *Uncle Tom’s Cabin* in Britain far exceeded that of Scott’s or Dickens’s novels, and its rapid translation into numerous European languages was taken as a sign of the persuasiveness and power of the abolitionist movement. The novel’s success tested the norms of copyright in the U.S., where the Supreme Court ruled in *Stowe v. Thomas* (1853) that Stowe’s copyright in her work did not extend to its German translation. The novel also

opened American publishers' eyes to the potentially enormous foreign market for American fiction.

American fiction was well represented in numerous British and European reprint series: Richard Bentley's "Standard Novels" (1831–55) included novels by Cooper and Charles Brockden Brown; Henry Bohn's "Standard Library," launched in 1846, included numerous works of fiction by Washington Irving; George Routledge's "Railway Library," begun in 1848, provided cheap editions for British railway passengers, including novels by Hawthorne, Herman Melville, and Susan Warner. Routledge was successful enough to establish a branch in New York in 1854 to manage his publication of American works, including a series of dime novels called "Beadle's American Sixpenny Library." British publishers developed similar reprint series designed for the colonial market. John Murray published the "Colonial and Home Library" between 1843 and 1849, aiming "to furnish the settler in the back-woods of America and the occupant of the remotest cantonments of our Indian dominions with the resources of recreation and instruction at a moderate price." This short-lived series failed in the U.S. largely due to competition from cheap domestic reprints, but it also suffered by neglecting novels in favor of more edifying works: Melville's *Typee* (1846) and *Omoo* (1847) were published as nonfiction alongside other travel narratives, works of history, and biography. When Macmillan began its "Colonial Library" series in 1886, targeted at the growing ranks of Indian readers as well British officers and expatriates, it made a point of emphasizing fiction. Trial and error established that the real profits in India were to be made through the simultaneous printing of popular British novels (with sheets set aside to be shipped to the Subcontinent) and not through reprinting. And yet Macmillan's Colonial Library was

nonetheless centrally shaped by the tradition of cheap reprinting: the series was self-consciously designed as a colonial version of the Tauchnitz editions and motivated by the desire to short-circuit the importation into India of cheap American reprints of British novels. Macmillan's aim in publishing cheap editions for sale in India, Australia, and New Zealand was to secure colonial markets for British publishing without threatening the higher price of books in Britain; many of these books included on their title pages the proviso "Only for sale in India and the Colonies."

Throughout the 1800s, international copyright was governed by a patchwork of bilateral treaties, allowing for considerable experimentation in the interstices of these agreements. Britain signed reciprocal copyright agreements with a number of German states in 1844, with Prussia in 1846, with France, Belgium, and Spain in 1852, with Sardinia in 1861, Venice and Mantua in 1867, and Rome in 1870. Under the leadership of Victor Hugo, the French Association Littéraire et Artistique Internationale drafted the Berne Convention for the Protection of Literary and Artistic Works, creating a legal and administrative framework for the international protection of literary property. Great Britain, Germany, France, Belgium, Spain, Italy, Switzerland, Tunisia, and Haiti adopted the Berne Convention in 1887. The mounting numbers of international copyright treaties made the U.S.'s refusal to enter into such arrangements seem anomalous; by the 1880s, the tide was turning in favor of an international copyright agreement of some sort. In 1878, the British Copyright Commission tendered a blistering report on the obscurity and inconsistency of British law, strongly recommending that Great Britain accept American protectionist demands that copyrighted foreign works be manufactured in America. In brokering the

Chace Act, which became U.S. law in 1891, American copyright advocates acceded to the demands of the International Typographical Union, which insisted that foreign works could be copyrighted only if they were produced from type set or plates made within the borders of the U. S. This provision remained in force through the 1950s, when both Britain and America ratified the Universal Copyright Convention (1952), a treaty that eliminated trade protections.

In the wake of the Chace Act, British publishers expanded their American operations while British authors began to demand higher royalties, expecting increased profits from American editions. British publishers had to make careful calculations about costs, however; where the risk of reprinting was low, it was often more economical to forgo international copyright, to publish the book or print the sheets in England, and to settle for whatever profits might be made from exporting the British edition. As the U.S. became a net exporter of literary and cultural works, American publishers began to seek more uniform international treatment of their properties, but disagreements concerning fundamental aspects of the Berne agreement, such as minimum terms, registration requirements, and moral rights for copyright holders (including the “right of paternity,” or attribution, and “right of integrity,” or protection against distortion or intentional destruction of a work) kept the U.S. from joining the largest and most important multilateral copyright agreement. So long as the U.S. remained outside the Berne Convention, American publishers fell back on a familiar nineteenth-century strategy for securing rights, approximating international copyright protection through the simultaneous publication of literary works in the U.S. and in a Berne country such as Canada. After significant changes in American copyright law in 1976 and 1988,

the way was paved for the U.S. to join the Berne Convention in 1989. Because the Berne agreement lacked enforcement mechanisms, however, in the 1970s the U.S. government began to attach the protection of intellectual property to trade agreements. As of 1994, membership in the World Trade Organization (WTO) requires countries to accept nearly all the conditions of the Berne agreement.

While popular novels were at the center of nineteenth-century debates over international copyright, the rights to software, digital music, and video have taken center stage in late twentieth- and early twenty-first-century disputes about intellectual property. Although reprinting is still a factor in publishers’ calculations about the marketing of novels, unauthorized reprinting has gone underground as all but a few countries participate in the WTO. Popular novels such as J. K. Rowling’s *Harry Potter* series (1995–2007) continue to be pirated in China and India, however, and many publishers worry that the illegal digital distribution of novels over file-sharing sites will threaten the small margins they earn on all but the most popular titles. Nevertheless, the extension of intellectual property rights across ever-wider geographical spaces and their extension in time has worked to curtail the practice of reprinting. The gradual increase in the length of terms of copyright, driven in part by the demands of international treaties and in part by increasing corporate interest in controlling global rights to creative works, has made the experience of a popular novel coming out of copyright and becoming part of the public domain an unfamiliar one. The U.S. Copyright Extension Act (1998), popularly called the Sonny Bono Act, protects works for the duration of the author’s life plus 70 years, while works of corporate authorship are granted copyright for 120 years after creation or 95

years after publication, whichever comes first.

If recent legal and diplomatic developments have clamped down on unauthorized reprinting, copyright advocacy groups such as Creative Commons, which established a system of licenses to permit creators to reproduce, adapt, and distribute their work, and digital entrepreneurs such as Google Books have succeeded in putting reprinting right back at the center of controversy. Google's ambitious plan to digitize and make accessible the holdings of entire libraries threatens the very premise of copyright—controlling distribution by restricting copying—insofar as it requires that digital copies be made before the question of rights is determined. Google has maintained that the digital reproduction of works in the public domain and of copyrighted books that are out of print is necessary for these works (or brief selections from them) to show up in online searches. It proposed that, rather than delaying scanning until owners could be found for indeterminate or “orphan” works, copyright holders be permitted to opt out of its scheme (well underway, with over seven million books scanned by 2008), preventing the online display of already digitized books. In this scanning project, expanded access to print in digital form and the profits to be derived by copyright holders through Google's search algorithm both depend on unauthorized reprinting on a massive scale. It remains to be seen whether mass-digitization projects such as Google Books will force changes in a law designed for the protection of printed works, or whether the inflexibility of copyright law will produce creative workarounds in print and digital publishing.

SEE ALSO: Authorship, Censorship, Class, Editing, National Literature, Reading Aloud, Reviewing.

BIBLIOGRAPHY

- Altick, R.D. (1998), *English Common Reader*.
 Barnes, J.J. (1974), *Authors, Publishers, and Politicians*.
 Brigham, C.S. (1958), *Bibliography of American Editions of Robinson Crusoe to 1830*.
 Exman, E. (1965), *Brothers Harper*.
 Johns, A. (2010), *Piracy*.
 Joshi, P. (2002), *In Another Country*.
 Leaffer, M. (2009), “American Copyright Law since 1945,” in *History of the Book in America*, ed. D.P. Nord, J. Shelley Rubin, M. Schudson, and D.D. Hall.
 Matthews, B. (1889), *American Authors and British Pirates*.
 McGill, M.L. (2003), *American Literature and the Culture of Reprinting, 1834–1853*.
 Nowell-Smith, S. (1968), *International Copyright Law and the Publisher in the Reign of Queen Victoria*.
 Putnam, G. (1891), *Question of Copyright*.
 Raven, J. (2000), “Historical Introduction,” in *English Novel, 1770–1829*.
 St. Clair, W. (2004), *Reading Nation in the Romantic Period*.
 Williams, S.S. (1997), *Confounding Images*.

Reversal *see* Closure

Reviewing

SCOTT ELLIS

In 1831, the *Edinburgh Review* published “Characteristics,” in which Thomas Carlyle declared: “Nay, is not the diseased self-conscious state of Literature disclosed in this one fact, which lies so near us here, the prevalence of Reviewing!” Throughout its long history, reviewing has served many different roles, often simultaneously, and whether or not one accepts Carlyle's complaint about it as a diseased state of literary self-consciousness, reviewing has impacted the writing and reception of the novel from its development in the eighteenth century to the present. Among its many effects,

reviewing advertised new books, it served as a medium for partisan and personal attacks and praise, it fostered the shift from patronage to professionalism, it positioned itself as a cultural mediator for morality, and perhaps most importantly, it created a public forum that allowed reviewers to speak about and evaluate literature in general and the novel in particular. This entry will address these aspects of reviewing and examine its impact on novel writing and reading practices over time.

REVIEWS AND PERIODICALS

Reviewing as a public practice took shape in England during the mid-eighteenth century. England's *Monthly Review* and *Critical Review*, while not the first periodicals to publish reviews or notices of new books, became the most prominent forums for reviewing. Offered to their eighteenth-century readers monthly, these journals established a model of reviewing, expanded upon and refined by their numerous successors, that both evaluated books from a variety of genres and also used them to explore the books' topics over several paragraphs or pages. Like most that followed this format, these periodicals sought a readership whose interests were diverse enough to read reviews about books exploring such topics as mineralogy, poetry, and foreign travel, all within the same issue. Readers of the Dec. 1763 issue of the *Critical Review*, for instance, encountered an analysis of "some sensible and judicious observations obscured and encumbered by a laboured, turgid, and affected stile" in Edmund Burton's *Antient Characters Deduced from Classical Remains* before reading an account of Frances Chamberlaine Sheridan's play *The Dupe*, which "would have met with deserved success" had she "carefully revised . . . some particular parts."

While book reviews have appeared in a variety of print media, the majority were published in periodicals that followed the general model set forth by the *Monthly Review* and *Critical Review*. Subsequent periodicals containing reviews were published in weekly, monthly, or quarterly formats. The length of reviews varied according to the publication, from one-sentence notices of recent publications to reviews that extended to more than seventy-five pages, in which the reviewed books were used as the basis for critical commentary on particular issues.

While some periodicals, like the two noted above, devoted all of their pages to reviews, others would include them in one section, where they would accompany general news about current events, original articles, and reprinted excerpts from miscellaneous works. At the end of the eighteenth century, for instance, New York's *Monthly Magazine*, edited by the novelist Charles Brockden Brown (who also wrote much of material in its pages), included original and reprinted reviews as one component of its format. These reviews tended to be brief, usually occupying no more than two pages each. Many other periodicals followed a similar format in their review sections. Brief reviews allowed writers and editors to introduce new books alongside news of the day and were particularly popular in publications distributed weekly, where the object was not to analyze extensively a book and its subject but to offer readers a glimpse of recently published works.

Other editors, though, believed that a less frequent publishing schedule would allow reviewers more time for thoughtful and critical consideration. In the early nineteenth century, the *Edinburgh Review*, for instance, appeared quarterly, its editors insisting that this schedule gave them more time to examine only the best literature and

ideas in a more careful manner than its weekly and monthly counterparts. The prefatory advertisement to the first issue explains that this periodical will “decline any attempt at exhibiting a complete view of modern literature; and to confine their notice, in a great degree, to works that either have attained, or deserve a certain portion of celebrity.” With such a focus, each issue of the *Edinburgh Review* included fewer reviews than its counterparts, but those published were much more extensive than brief synopses, often extending for more than seventy pages per article.

Similarly, the *Quarterly Review* might only run eight reviews in a single issue, but that issue would be more than 250 pages long. These longer reviews allowed the writer to evaluate books, but these books also functioned as the focal point for a broader discussion about a topic or idea. In the Jan.–Apr. 1857 issue of England’s *Quarterly Review*, for instance, a writer discusses American slavery in its twenty-eight-page review of Harriet Beecher Stowe’s *Dred* and one of Charles Sumner’s speeches. The reviewer offers advice for Stowe: cut out Nina’s (the main character’s) comments about herself and slow the pace of the story (329). But this analysis of Stowe’s novel segues into an investigation of slavery itself, particularly in slavery’s effects on the union of the U.S. After examining Sumner’s speech—“The substance of the speech is as generally good as the style is frequently detestable”—and a variety of articles in American newspapers on slavery and the Fugitive Slave Law, the reviewer presciently concludes, “Every election approaches nearer and nearer to a civil war. . . . [I]t does appear to us that a bond which every four years is on the point of separating must eventually snap” (352).

Along with editors’ differing goals for their publications, the length of reviews and periodicals was also determined by material

conditions of publication and distribution as well as reader demands. Thus, readers in the mid-nineteenth century witnessed the proliferation of competition for the quarterly, as weekly and daily newspapers and magazines, often bolstered by declining stamp rates and the removal of trade restrictions, regained their popularity and began to compete for readers’ attention. Great Britain’s the *Athenaeum* and *Saturday Review*, for instance, popularized shorter reviews in a weekly format, using readers’ increasing appetite for literary knowledge to boost their sales and influence.

CREATING AND DISTINGUISHING A LITERARY MARKETPLACE

By fostering a public discussion about books and ideas, reviewing created a market for books and a desire to read. Summarizing the ascendancy of periodical reviews in the eighteenth century, Samuel Miller, a member of New York’s intellectual elite, notes that while seventeenth-century criticism was mired in Latinized reflections directed only toward an educated few,

the Reviews of the last age, besides being multiplied to an unexampled extent, have received a popular cast, which has enabled them to descend from the closets of philosophers, and from the shelves of polite scholars, to the counting house of the merchant, to the shop of the artizan, to the bower of the husbandman, and, indeed, to every class of the community, excepting the most indigent and laborious. In fact, they have contributed to give a new aspect to the republic of letters, and may be considered as among the most important literary engines that distinguished the period under consideration. (238)

Reviewing was therefore instrumental in the proliferation of books and book publishing, as readers of reviews became book

consumers, either through book sales themselves or through circulating libraries. Indeed, these libraries, along with reading rooms and bookstores, often depended upon reviews to determine which books to order. Dublin's *Literary Journal* (1744–49), for instance, explicitly sought to introduce Irish readers to foreign books and ideas, thereby fostering a wider reading public. Similarly, the *North American Review* begins its first issue (1815) by noting that the periodical would publish extracts of the editor's catalogue of books relating to the history of North America, and that "where the works noticed are scarce, several extracts from them will be made, which may at once serve to give a more complete idea of the books, and to relieve the dryness of a mere catalogue."

Reviewing not only shaped a literary marketplace, but it also helped periodicals target specific segments of the reading population. Whereas the formative years of reviewing fostered the emergence of an increasingly literate public, reviewing in the nineteenth century often went further and shaped its writing to address different economic and cultural classes within this literate population. England's *Academy* and *Saturday Review*, influential mid-century periodicals, targeted a culturally sophisticated readership, one who was well versed in the literary and intellectual debates of the day. Similarly, England's *Nineteenth Century* served the interest of the highly educated and elite. Scholars have argued that by targeting specific socioeconomic classes, periodicals reflected increasing social divisions and brought such divisions to the very core of the literary marketplace.

Moreover, although editors and reviewers consistently argued for their own objectivity and impartiality, reviews and the periodicals in which they appeared often positioned themselves for specific audiences according to religion and politics. Liberal and conser-

vative arguments, for instance, infiltrated even the most mundane book review, an act that not only served to support or challenge a particular perspective, but also effectively determined its readership. England's liberal *The Spectator*, for example, would often lend favorable reviews to those authors—Charlotte Brontë, Anthony Trollope, and others—whose storyworld and characters reflected the editors' and reviewers' ideas of morality. Similarly, the introductory essay to the first issue of the *American Whig Review* asserts that "to support freely and openly the principles and measures of the Whig party, is one great object of this review." As Frank Luther Mott notes, the very content of reviews in the U.S. during the mid-nineteenth century was often shaped by social positions of writers and reviewers and even by geography. As Mott demonstrates, the *New Englander*, for instance, was biased against Boston authors, while the *Southern Literary Messenger* dismissed writers with abolitionist leanings (407). The reviews of these and similar publications therefore went beyond a basic examination of books by targeting readers with particular cultural, political, religious, and intellectual beliefs. This approach often polarized the literary marketplace, but it also fed into the core concerns of many readers, whose literary appetites demanded a steady supply of reviews.

REVIEWING CRITERIA AND THE NOVEL

In the 1852 essay "Bird's-Eye View of English Literature in the Nineteenth Century" published in *Hogg's Instructor*, an Edinburgh weekly, a writer argues that "the age of Victoria is the age of the novel," and that poetry, drama, and the essay have fallen in status. In their place, "the novel alone, or prose fiction, as we call it, retains its former

honours, and has even usurped the province of history and philosophy.” While the novel, even in the nineteenth century, occupied only a small portion of the total publishing output, its emergence as a legitimate element of print culture demanded an increasing need among reviewers to establish criteria with which they could evaluate the genre. In a review of Mrs. (Agnes Maria) Bennett’s novel, *Ellen, Countess of Castle Howel* (1794), for example, one reviewer in Philadelphia’s *American Monthly Review* (1795) reflects upon the rise of novels and the need for critical evaluation: “Flowing and correct language, polished wit, sportive humour, the pathos of sensibility, and the charms of elegant simplicity, have introduced novels into the closets of the statesmen, of the grave divine, and of the careful father of a family, who best know how to appreciate their merits and defects:—but the young and gay require some assistance, and the *sanction* of these performances, in the schools, demands attention” (172). This desire to facilitate intellectual discussions about the novel while simultaneously establishing identifiable standards for evaluation stimulated the reviewing industry, and while evaluative criteria was not uniform across all periodicals, we can identify certain qualities that many reviewers shared.

Until the modernist period, reviews tended to favor novels that were realistic, with probable characters, events, and speech, and reviewers often challenged novels that deviated from mimetic representation of common, recognizable characters and situations. Many reviews of Nathaniel Hawthorne’s and Herman Melville’s novels, for example, criticized their allegorical tendencies and fanciful plots. Similarly, reviewers repeatedly rebuked the “romance” novel, one whose exaggerated romantic intrigues and seductive (usually male) characters would corrupt the minds of young (women) readers. These novels, allegorical

or romantic, betrayed the expectations of the reader by not providing a realistic mirror of everyday life. As one writer evaluating *Monima, or the Beggar Girl* in the *American Review* (1802) noted, “Some of the circumstances are too improbable to admit of easy belief, and others too preposterous to be reasonably imagined.” Furthermore, “The circumstances of this tale seem so little to correspond with the natural course of things in Philadelphia, or any where [*sic*] else . . . that to bestow encomiums on this production would be considered as a most inordinate sacrifice to the vanity of authorship.” This is not to say that every review condemned any novel that was purported to be unrealistic, but the general tendency of reviews as they sought to shape novel writing and reading practices was to encourage authors to reproduce as faithfully as possible a storyworld that readers could envision as their own.

Similarly, reviewing in every era examined the morality of the novel and consistently exalted or condemned works according to a “proper” moral stance. In 1830, a writer for the *Edinburgh Review* noted simply that “we require from the novel that it shall be moral in its tendency, it shall be amusing, and that it shall exhibit a true and faithful delineation of the class of society which it professes to depict.” Characters in each era were to behave in a manner that conformed to social and religious codes, and when writers had their characters break those codes, reviewers were quick to condemn the novel. In a review of Charlotte Brontë’s *Jane Eyre*, for instance, a writer for the *Rambler* notes that the novel “is, indeed, one of the coarsest books which we ever perused. . . . There is a tendency to relapse into that class of ideas, expressions, and circumstances, which is most connected with the grosser and more animal portion of our nature; and that the detestable morality of the most

prominent character in the story is accompanied with every sort of palliation short of unblushing justification.” Such approaches to morality were very common in reviews. Nina Baym notes that of the more than 2,000 reviews she explores in her book about antebellum book reviewing in the U.S., only one—written by Edgar Allan Poe—claims that morality should not be examined in a review (173). Novelists as diverse in time and style as William Godwin, Henry James, and James Joyce had their novels criticized on moral grounds, and while negative reviews based on morality did not necessarily force writers to alter their craft—indeed, Joyce and other modernists would take such criticism as justification for their art—reviewers nonetheless continued to try to uphold moral standards in their reviews.

The standards that the reviewers trumpeted, though, were often tinged with assumptions about gender, both for readers and authors. Novel-readers were often considered, implicitly and at times explicitly, to be young women, and reviews often shaped its evaluative criteria with this audience in mind. Thus, a reviewer in *Graham's Magazine* (1853) evaluating Stowe's *Uncle Tom's Cabin* asserted: “Our female agitators have abandoned Bloomers in despair, and are just now bestride a new hobby—an intense love of black folks, in fashionable novels!” Similarly, as Nicola Thompson (1996) explains, the works of such authors as Emily Brontë and Anthony Trollope were often reviewed according to cultural assumptions of male- and female-appropriate topics, whereby such writers were often chastised in reviews for transgressing unwritten codes about what novelistic fare is appropriate for men and women writers. Reviewers therefore both reflected and shaped public assumptions about gender in novels, and writers were forced to contend with such limiting assumptions.

REVIEWING AND WRITERS

By making public a critical language that readers could use when evaluating the novel, reviewing was able to shape public discourse about literature, but its influence often went beyond that of readers to the writers themselves. Understanding the growing influence of reviewing in public consciousness, writers quickly became attuned to the comments about their work. As “Candidus” argued in New York's *Monthly Magazine* in 1799:

Reviewers are to be considered as auditors who comment on our discourse in our presence, and likewise as men who employ themselves in diffusing their opinions of our merits in as wide a circle as possible. . . . No wonder, therefore, that we are anxious for the *good word* of reviewers, that we eagerly investigate their verdict, and are dissatisfied or pleased in proportion to the censures or praises conferred.

In pursuing the good word of reviewers, many writers therefore shaped their work, consciously or not, to accord with critical opinions.

During the eighteenth century, reviewers spent more time examining poetry, history, and other topics than the novel, but nonetheless those reviews of fiction served to shape the style, content, and morality of much subsequent fiction. If the reviewers rather than the writers were taking charge of a public literary discourse, many novelists recognized the need to listen to their advice. For instance, Frank Donoghue argues that in responding to reviews critical of *Tristram Shandy*, Laurence Sterne altered his writing style in his subsequent novel, *A Sentimental Journey* (1768), which became one of the most formative works in the genre of the sentimental novel.

Melville, moreover, received a warm reception in many reviews for *Moby-Dick*

(1851), but he tended to focus on the prominent scathing comments. A reviewer in London's *Athenaeum* asserted: "the style of this tale is in places disfigured by mad (rather than bad) English; and its catastrophe is hastily, weakly, and obscurely managed"; one in Boston's *Post* argued that Melville's novel "is not worth the money asked for it, either as a literary work or as a mass of printed paper"; and another in the New York *Independent* calls this and other Melville novels "a primitive formation of profanity and indecency . . . which makes it impossible for a religious journal heartily to commend any of the works of this author which we have ever perused." These and other reviews coincided with a weak reception for *Moby-Dick*, and when Melville submitted part of a manuscript for his follow-up novel *Pierre*, his publisher reduced the terms of Melville's contract, events that led the writer to significantly alter the story by adding details about Pierre as a failed writer abused by the literary community. For this novel, Melville, in turn, received even worse reviews than for *Moby-Dick*, forcing the writer to reassess his work as a novelist. Many scholars go so far as to suggest that the reviews of *Moby-Dick* and *Pierre* may have caused Melville to suffer an emotional breakdown.

If novelists frequently responded to reviews of their work, so too did novelists themselves take up the pen and review others' books. Writers as diverse as Sir Walter Scott, Edgar Allan Poe, William Makepeace Thackeray, Virginia Woolf, John Updike, and Italo Calvino honed their critical skills in book reviews, using their own approaches to writing as a lens through which they evaluated the work of their contemporaries. The reciprocal nature of novelist-as-reviewer at times fostered competition and even animosity, but such work was just as likely to spur attention to fellow novelists. Sir Walter Scott, for instance,

exemplifies both possibilities. On the one hand, Scott helped to establish the *Quarterly Review* (1809) in order to counteract the scathing reviews of his writing and that of Robert Southey (1774–1843) in the *Edinburgh Review*, a move that led to open competition and animosity between the two periodicals. On the other hand, Scott was often judicious and even generous in his reviews of contemporaries. In his review of Jane Austen's *Emma* in the *Quarterly Review*, for example, Scott writes that she copies "from nature as she really exists in the common walks of life, and present[s] to the reader, instead of the splendid scenes of an imaginary world, a correct and striking representation of that which is daily taking place around him" (192).

BOOK REVIEWERS

Reviewing as a practice and occupation varied widely depending upon the periodical, and there is no uniform experience for all reviewers. While some writers used their reviews to strengthen their reputation and, at times, their fame, the identity of other writers was never known to the public. In the eighteenth century, the *Monthly Review* and *Critical Review* published reviewers' comments anonymously, and many subsequent periodicals followed suit. The *Edinburgh Review* reinforced the status of the anonymous review, and this practice was followed by most nineteenth-century reviews. Many editors believed that ideas gained more credence if they were not assigned to a particular reviewer but instead were unsigned, thereby reflecting the opinions of many. Moreover, anonymity allowed reviewers the freedom to criticize or laud the work of a friend or prominent writer without fear of reprisal or public cries of favoritism. Anonymity therefore gave reviewers the freedom to offer honest

commentary about any novel, regardless of the author. Women writers also benefited from anonymity, allowing them to participate in public discussions without incurring the rebukes of those who dismissed their capability of doing so. George Eliot, for instance, honed her critical tongue in anonymous reviews, which led to her later work at the *Westminster Review* before writing novels of her own. Similarly, Margaret Oliphant wrote prolifically and anonymously for *Blackwood's Magazine*, work that gave her an important public voice on contemporary fiction and ideas during the second half of the nineteenth century.

Of course, anonymity also worked against honest reviewing, as the absence of one's name at times fostered "puffery," in which an anonymous reviewer extolled the virtues of a novel written or published by a friend. For instance, the success of *Pamela* (1740), Samuel Richardson's first novel, was due in part to a favorable anonymous review by William Webster of the *Weekly Miscellany*, who had a personal debt of ninety pounds forgiven by Richardson; and Mary Shelley anonymously penned for *Blackwood's* a glowing account of *Cloudesley* (1830), a novel by her father William Godwin (Mullan). Similarly, anonymity effectively concealed the identity of writers—Sir Walter Scott and John Davis, among others—who positively reviewed their own work.

This practice, however, was not without its detractors. Many writers and editors understood the deception that often occurred behind the veil of anonymity and sought to change this practice. In his periodical, the *London Review*, Richard Cumberland challenged conventions of anonymity and stated in the first issue (1809): "A piece of crepe may be a convenient mask for a highwayman; but a man that goes upon an honest errand, does not want it and will disdain to wear it" (Vann and VanArsdel, 124). While Cumberland's periodical did

not last long, one of the most influential periodicals, the Parisian *Revue des deux mondes*, begun in 1829 and published bi-weekly, assigned names to nearly all of its writers. Printing reviews as well as serialized fiction, drama, and other miscellaneous articles, the *Revue* published the work of such authors as Dumas and Balzac and led to many periodicals around the world to try to copy its style and format, one component of which was to identify its writers. In the following decades such periodicals as the *Fortnightly Review*, *Contemporary Review*, *The Academy*, and *Nineteenth Century* affixed identities to their writers, including reviewers, as a way to challenge the conventional understanding of the necessity of anonymity.

The coexistence of anonymous and attributed reviewers also coincided with differing practices of remuneration. The pay scale for reviewers ranged from no compensation other than self-satisfaction to rates that would enable a reviewer to make a modest living. In the latter category, reviewers for the *Edinburgh Review* and the *Quarterly Review* were sometimes paid up to £100 for extensive reviews, which often grew to seventy pages or more (Shattock). However, many other reviewers found payment for reviews very low, even for elite journals, with the hope that the contributors would consider adding their voice to the public sphere payment enough. The *Saturday Review*, for instance, paid its contributors two to three guineas per article in the late 1850s, although this payment rose to three pounds and ten shillings per article by 1869 (1941, M. M. Bevington, *Saturday Review, 1855–1868*, 37–38). We also see that the pay for reviewers became an element of competition. In the final decades of the nineteenth century, reviewers in the U.S. were getting paid five to ten dollars a page for the *Atlantic Monthly*, whereas competitors such as the *Century*, boasting a larger number of

subscriptions, were offering reviewers double that amount (1994, E. Sedgwick, *Atlantic Monthly*, 178).

Whatever the remuneration, reviewing has offered the reading public an influential yet contentious voice in the public sphere. Its best and worst impulses were perhaps described best by William Dean Howells, who wrote, edited, and felt the sting of reviews for more than five decades. In his 1866 essay entitled "Literary Criticism," published in the *Round Table*, a New York weekly, Howells challenged the poor state of literary reviews. The function of proper reviewing, he wrote, "is entirely distinct from the mere trade-puff of the publisher, the financial comments of the advertiser, or the bought-and-sold eulogium of an ignorant, careless, or mercenary journalist. It is equally removed from the wholesale and baseless attacks of some rival publication house, or from the censure which is inspired by political, personal, or religious hatred." Instead, Howells desired to read and practice a better style of reviewing: "True criticism, therefore, consists of a calm, just, and fearless handling of its subject, and in pointing out in all honesty whatever there is hitherto undiscovered of merit, and, in equal honesty, whatever there has been concealed of defect."

Such comments and approaches to reviewing have shaped reading and writing practices for nearly three centuries, and this impact continues to be felt today. Although the publishing industry as a whole is struggling with declining revenue and readership, as evidenced by cuts to reviewing departments in many major newspapers at the beginning of the twenty-first century, reviewing continues to affect the writing, reception, and sales of novels. Major review publications such as the *Times Literary Supplement* and the *New York Review of Books*, together with an increasing number of online book-review venues, give reviewing a forum that allows it to flourish

and develop alongside the contemporary novel.

BIBLIOGRAPHY

- Baym, N. (1984), *Novels, Readers, and Reviewers*.
 Demata, M. and D. Wu, eds. (2002), British Romanticism and the "Edinburgh Review."
 Donoghue, F. (1996), *Fame Machine*.
 Graham, W.J. (1930), *English Literary Periodicals*.
 Gross, J. (1969), *Rise and Fall of the Man of Letters*.
 Miller, S. (1803), *Brief Retrospect of the Eighteenth Century*.
 Mott, F.L. (1957), *History of American Magazines*, vol. 1.
 Mullan, J. (2007), *Anonymity*.
 Roper, D. (1978), *Reviewing before the Edinburgh, 1788–1802*.
 Shattock, J. (1989), *Politics and Reviewers*.
 Thompson, N.D. (1996), *Reviewing Sex*.
 Vann, J.D. and R.T. VanArsdel, eds. (1989), *Victorian Periodicals*.
 Waters, M.A. (2004), *British Women Writers and the Profession of Literary Criticism, 1789–1832*.

Revolutionary Romance *see* China

Rhetoric and Figurative Language

AARON MCKAIN AND TREVOR MERRILL

Defining a 2,500-year-old literary tradition in 2,000 words is a difficult task; doubly so when that tradition has spent so much of its time haggling over its own meaning. But that is the task of this entry, and "rhetoric," despite its wide and narrow definitions, does provide many, more or less agreed upon, talking points and touchstones. The first—and it is a first that, as is the case throughout this entry, comes first conceptually, not chronologically—is Aristotle's (384–324 BCE) *On Rhetoric*, the treatise which provides the definition of rhetoric now familiar to two millennia of students, "the art of seeing

the available means of persuasion in any given situation" (bk. I).

So what is this "art" of persuasion? For Aristotle, it is an investigation into how to move and convince audiences, both within the context of political occasions (e.g., the law courts, legislative assemblies, and official ceremonies) and with the use of particular types of evidence (particular appeals to emotion, or logic, or credibility). How do audiences come to accept or reject a speaker? How do speakers persuade or dissuade their audiences? What are the aesthetic, affective, and ideological consequences of speakers' rhetorical choices and audiences' judgments of them? These are the questions an Aristotelian approach to rhetoric asks. And they are the questions (though not necessarily the terminological methods) at the heart of the rhetorical approach to literature, an approach made most overt, and most famous, in the twentieth century by Wayne C. Booth with his *Rhetoric of Fiction* (1961), and by the work of Kenneth Burke and Mikhail BAKHTIN. This approach was carried forward most forcefully into the twenty-first century by the "third generation" of Chicago School rhetorical critics, most notably James Phelan and Peter Rabinowitz. But how do we get from the *polis* of ancient Greece to contemporary English Studies? What are the nuances of a rhetorical approach to literature? How do we account for the ever-expanding (and contracting) role of rhetoric within the field of literary studies? Exploring these questions requires us to treat the study of rhetoric *itself* rhetorically. So, with a nod to Stephen Mailloux's "rhetorical hermeneutics"—which advocates using "rhetoric to practice theory by doing history"—the short synopsis that follows will consider how and when the rhetorical approach to literature (and its evolving methodological and epistemological presuppositions) became persuasive within

particular intellectual and material moments in the history of English Studies.

Our "rhetorical hermeneutics" of rhetoric begins with a thorny binary central to rhetorical scholarship: the longstanding (and, in contemporary departments of English, still standing) distinction, if not outright division, between the study of rhetoric and the study of literature. This is a complex relation with ancient roots. Aristotle himself separates the study of dramatic texts (dealt with in his *Poetics*) from "rhetorical" texts (the civic communication outlined in *On Rhetoric*), despite the distinction failing to hold in his actual readings of texts (e.g., his examination of tragedy turns upon its ostensible emotional effect on the audience). Moreover, literature has been instrumental to rhetoric, and vice versa, since the emergence of rhetoric as a field of study: the speeches in Homer served as an early model for Greek scholars, and classical literature remained a centerpiece of rhetorical instruction through the Roman and medieval periods (Kallendorf, xx). For Quintilian (35–ca. 96 CE) (and for Cicero), the study of rhetoric was the pursuit of *vir bonus*, the "good man," speaking well, a commitment to civic humanism pursued via science, philosophy, art, and literature. But as the centuries progressed, epistemological critiques began to diminish the importance of rhetoric. Though it had been conceived by Aristotle (and to an even greater extent, the Sophists) as a means to discover or "invent" knowledge, in the sixteenth century Petrus Ramus (1515–72) reopened Plato's ancient criticism of rhetoric—housed in a critical distinction between rhetoric and dialectic—and thereby reasserted rhetoric's status as a degraded form of logic. The scientific revolution and the Enlightenment further diminished rhetoric's intellectual status and scholarly role, positing language as—at best—an ineffective tool to *transmit* scientific fact rather than a means to probe

“probable” truths and discover knowledge (see the philosophical works of Francis Bacon and John Locke). Rather than a holistic understanding of ethics, common wisdom, and how to encourage people toward virtuous civic action (a broad educational project that would necessarily include the study of literature), rhetoric became subsidiary: a superfluous study of the eloquence and style that supplemented true knowledge.

In the twentieth century, two things about rhetorical study were clear. First, despite remaining at the heart of formal education in Europe through the eighteenth century, and in the U.S. until the late nineteenth, rhetoric, as a mode of epistemological inquiry, had been substantially downgraded (Bizzell and Herzberg). Within the newly formed departments of English, rhetoric had become reduced primarily to the teaching of grammar and expository writing, with investigation of persuasion and probabilistic knowledge pushed into the social sciences and, eventually, communication studies (R. J. Connors, 1991, “Rhetoric in the Modern University,” in *The Politics of Writing Instruction*, ed. R.H. Bullock et al.). What remained within English Studies was the study of literature as literature, as a unique form of poetic language aesthetically and intellectually distinct from rhetoric, and deserving of its own particular modes of inquiry (J. A. Berlin, 1996, *Rhetorics, Poetics, and Cultures*). This method was provided by the New Criticism.

To best understand how the rhetorical study of literature eventually emerged from, and reacted to, the intellectual conditions of the New Criticism (a theoretical school which remained the dominant intellectual strain of literary analysis from the 1930s through the 1960s), it is useful to couch its theories in rhetorical terms. The work of W. K. Wimsatt and Monroe Beardsley, though coming in the middle of the New Criticism

movement, provides the clearest example. In the “Intentional Fallacy” and the “Affective Fallacy” (1946), Wimsatt and Beardsley advocate excising the author (an entity whose true intentions can never be objectively discovered) and the audience (an entity whose subjective opinions about a work of literature are beneath scholarly consideration) from literary analysis. What remains in this decidedly *a-rhetorical* mode of inquiry is the text itself, an autonomous unit which can then be read—closely—to determine its forms, structure, nuance, and aesthetic quality (see *FORMALISM*). Though some New Critics adhered to these *a-rhetorical* strictures more tightly than others (a case in point is I. A. Richards, whose *Practical Criticism*, 1929, used readers’ responses to seek out the cause of incorrect readings), what New Critical approaches generally presumed was that (1) literature, considered in its own right, was a unique form of language and (2) it should be considered by audiences in a detached and ahistorical manner, two points where the rhetorical approach to literature—defined by attention to a text’s actual persuasive effects and the means by which an author created them—push back, most notably in the work of Burke and Booth.

Starting from the position that man is a “symbol-using animal,” Burke’s conceptualization of rhetoric as the means by which humans identify with each other not only erodes the distinction between poetic and rhetorical language (a position he argues in *Counter Statement*, 1931, and *The Philosophy of Literary Form*, 1941), but makes all language use necessarily a form of rhetorical discourse. For Burke, language is symbolic action (just as literature is “equipment for living”), and insofar as our symbol use touches on every facet of our lives—from war, to newspaper advertisements, to “Rime of the Ancient Mariner,” to this encyclopedia entry—all of these texts should be opened up

to a rhetorical method that can help probe the mysteries of human motivation and mutual understanding. Burke provides such a method in *Grammar of Motives* (1945), which outlined his analytical program of *dramatism*, a “pentadic” heuristic for dissecting a rhetorical artifact by (1) always considering rhetorical acts to be “molten,” able to be approached by any number of interpretive angles and by (2) providing five, always refracting and mutually reinforcing, *ratios* of interpretation (*act, scene, agent, agency, and purpose*) and then extrapolating from them the ideological and philosophical consequences of their perspective on human conduct. Burke’s notion of *ratio* was later to be taken up by Harold Bloom in his investigations on the anxiety of influence.

Though seen today as a viable critique of the New Critics (as well as an intellectual and methodological precursor to the post-structuralist rhetorical project), Burke’s influence was not as apparent at the time of his writing (Bizzell and Herzberg). Another contemporary rhetorical challenge to the prevailing New Critical orthodoxies was more successful—one launched by the so-called Chicago School, founded by R. S. Crane (influenced by Richard McKeon, including Sheldon Sacks and Ralph Rader). These University of Chicago scholars engaged with Aristotelian techniques to rethink the rhetorical relationships inherent in literary communication. Rather than treat dramatic and poetic texts as sterilized and self-contained objects, the neo-Aristotelian method contemplated the effects (or affects) a work of literature produces and then reasoned back from those effects to determine, and typologize, the “means” (the method of craft or art) that produced them. The Chicago School’s version of rhetorical poetics failed to unseat the prevailing orthodoxy of the New Critics. But a member of its second generation, Booth, innovated

upon their methods—pushing beyond both poetry and poetics and in a more overt form of rhetorical analysis—substantively redefining both the rhetorical criticism of literature in general, and the novel in particular, for American scholars in the mid-twentieth century.

Conceived as a critique of the “dogmas” of New Criticism—that literature, to achieve its exalted status, should be “objective”; that “REALISM” (a novelistic instinct to “show” and not “tell”) should be the dominant aesthetic; that the audience should remain impartial in its deliberation upon a work—Booth’s *Rhetoric of Fiction* reinserted rhetorical considerations into fiction in order to consider the efficacy of particular novelistic techniques in achieving particular literary—and ethical—effects. For Booth, literature is not only a communicative act between authors and readers, but one between authors, narrators, and readers, with the tacit understanding that an author is attempting to persuade her audience to assent to a particular set of judgments about the presented fictional world. Booth’s expanded model of literary communication allowed him to assess and triangulate the potential consequences of authors’ and audiences’ “distance” (see *SPACE*) from narrators and characters (and from one another), leading to a host of still influential heuristics, including his views on narrators as unreliable and reliable; and dramatized and undramatized. *The Rhetoric of Fiction* also found Booth, in the book’s most controversial innovation, advancing the proposition that an author’s rhetorical presence, her craft in constructing the text, is never—despite the New Critics’ claims—absent. Rather, it always emerges as the “implied author,” the “sum total” of the author’s choices (“the intuitive apprehension of a completed artistic whole . . . to which *this* implied author is committed”), choices which are made precisely to

create—rhetorically—a hypothetical reader “suited to appreciate such a character and the book he is writing” and to persuade the real reader to join in that appreciation (Booth, 89).

The *raison d’être* of Booth’s rhetorical approach was developing criteria from which readers could make their own judgments about the ethics and efficacy of literary works, and from which they could understand the unique, and complex, relationships forged between authors and readers, a project continued in *A Rhetoric of Irony* (1974) and *The Company We Keep* (1988). Ironically, however, it was English Studies’ eventual embrace of rhetorical study—or, more precisely, its embrace of the epistemologically robust, and arguably radical, theorizations of rhetoric heralded by poststructuralism’s “linguistic turn”—that put the rhetorical approach to literature, as exemplified by Booth and the Chicago School, methodologically at odds with the field (see STRUCTURALISM).

Explained in the briefest of terms, the poststructuralist project begins with an echo of the ancient Sophists’ understanding of the non-referentiality of language. Language—linguistic signs—is neither a transparent nor a degraded medium of access to a more knowable world; rather, language—rhetoric, the text—is all there is. Two paradigm-shifting implications for the rhetorical study of literature quickly arise. First, as articulated most famously by the mid-career work of Stanley Fish, this anti-foundationalist approach to text is both hyper-rhetorical and unmoored from the typical anchors of rhetorical interpretation: if neither authorial intention nor audience response can be presumed or appealed to in literary analysis (if, following Fish’s penchant for quoting Protagoras, “man is the measure of all things”), then the validity of any interpretation of text (or even the *existence* of a particular text) is basically a matter

of the “interpretive community” one belongs to—an interpretive community, it must be pointed out, that one *always already* belongs to by virtue of acquiescing to a particular textual interpretation. Fish’s interrogation of theories of intention and reader-response (coinciding with Roland Barthes’s arguments against authorial intention and Jacques Derrida’s deconstruction of authorship) necessarily changed the rules of the rhetorical approach to literature. The second impact of poststructuralism on the rhetorical study of literature, however, was to expand—and, as an intellectual, practical, and disciplinary matter, arguably explode—the very category of literature within English Studies. On this point, Michel Foucault is (ironically) the central organizing figure. Drawing upon the linguistic insights of Friedrich Nietzsche (1844–1900), and rolling back the Enlightenment’s epistemological critique of rhetoric, Foucault sought out the complex relationships between rhetoric (in Foucault’s parlance: *discourse*) and the development of particular regimes of knowledge, exploring the discursive constructivism inherent in SEXUALITY, science, psychology (see PSYCHOLOGICAL), power, and prisons, and helping to pave the way for an expansive, epistemic cultural studies approach to rhetoric and literature.

As is the case with any history, we must take care to acknowledge that there is no certain way to determine why trends in literary analysis come and go. That said, in the wake of the poststructuralist turn—with its emphasis on the ideological effects of discourse and its acknowledgment of the politics underpinning any particular interpretive community—the next analytical step would seem to be embracing a method able to trace out the ideological implications of literary discourse (see IDEOLOGY). And by the 1980s, the rediscovery and translation of the works of Bakhtin provided a rhetorical

inroad to these queries. In his seminal early twentieth-century works—"Discourse in the Novel" and *The Problems of Dostoyevsky's Poetics* (1963)—Bakhtin moves beyond his Russian Formalist roots to consider more fully how all words and discourse, far from being sterilized and univocal, are "shot through with intentions and accents": no language is "neutral," or rather, "each word tastes of the context and contexts in which it has lived its socially charged life" (282). In other words, no word's meaning can ever be fully contained—completely cauterized from its social context—regardless of an author's appropriation and manipulation of it. The best approach to literary works, then, is to approach them dialogically: putting authors and readers into conversation via their mutual (though not necessarily non-competing) engagement—ideological, sociological, political—with language. And for Bakhtin, the best genre from which to consider these multiple, and often competing, social contexts of discourse ("heteroglossia") is the novel, a genre whereby an author acts as an orchestrator, bringing into conversation the competing discourses of the day—the church, the street, the court of justice, the bar, the home, the factory—via a panoply of narrative forms (hybrid, double-voiced, parodic, *skaz*, etc.) that do not allow the author to "monologically" overpower his characters.

Bakhtin's identification of particular narrative techniques, and the ways in which they engage readers in considering their aesthetic and ideological judgments of fictional work, brings us to the most prominent contemporary proponents of the rhetorical approach to literature, the "third generation" of Chicago School critics. Represented by the work of Phelan and Rabinowitz (though also including scholars such as Harry Shaw, David Richter, and Dorothy Hale), this continuation of the

Chicago School project takes as its starting point the communicative transactions between authors, narrators, and audiences in order to refine rhetorical heuristics that can enable evaluations of them. Working primarily from the perspective of readers, Rabinowitz has both explored the implications of how readers situate themselves among interrelated audience positions—the "flesh-and-blood" audience (the actual audience reading a text); the "authorial" audience (the ideal reader who understands the implied author's communication perfectly); and the "narrative audience" (the role, and assumptions, readers take on within a narrative world)—and investigated the conventions that typically guide readers' interpretations of narratives. Phelan, working from his 1996 redefinition of narrative as a form of rhetoric ("*the telling of a story by someone to someone on some occasion for some purpose*") considers the ethical and aesthetic calculations implicated in the multiple layers of rhetorical communication inherent in narrative acts (8). Beginning with *Reading People, Reading Plots* (1989), which considers how narrative progressions are catalyzed via an audience's responses to textual dynamics, and extending most recently to *Experiencing Fiction* (2007), which continues the exploration of three interlocking mechanisms for rhetorical judgment of fictional texts (the mimetic, thematic, and synthetic levels), Phelan's concern—whether dealing with character narration, authorial technique, or reader judgments—is the interrogation of narrative as a rhetorical activity with ideological, ethical, and affective implications.

This synopsis of current research into rhetorical literary criticism returns us to our original question: what is the status of the rhetorical study of literature in our present context? It has been nearly thirty years since Terry Eagleton, speaking on the state of literary theory (and attempting to clear the

air of postmodern sensibilities and the treatment of literature as a “privileged object” “separate from the social”), lobbied for a return to the “oldest form of literary criticism in the world,” rhetoric, the study of the effects of discourse and how to produce them in particular audiences. Now, in the early twenty-first century, English Studies has begun to see the return, and mainstreaming, of both ethical and aesthetic concerns, and their treatment—whether explicitly or implicitly—in rhetorical ways (see Berube and Hale, respectively) as well as a turn away from the poststructuralist “dogmas” against agency and intentionalism (see COGNITIVE). Put into rhetorical terms, the question then remains: in such an intellectual climate, and in an economic moment where the material conditions of the modern university have made Rhetoric and Composition Studies an increasingly powerful pedagogical and political influence within English departments (M. Bousquet, 2008, *How the University Works*), are we in another moment of rhetorical resurgence? Or merely another brief footnote in the 2,500-year-old relationship between rhetoric and literature?

FIGURATIVE LANGUAGE AND THE NOVEL

If the first part of this entry approaches the matter of rhetoric in terms of its broad conceptual and institutional history, it is also important to address figurative language, which is a fundamental element in the art of rhetoric and also plays an important role in the language of the novel.

Figurative language generally refers to any language that departs from ordinary usage or diction, although rhetoricians have noted that it frequently appears in everyday speech. Tropes such as *metaphor* (“a device for seeing something *in terms* of something

else,” as Burke defines it in his 1945 *Grammar of Motives*), *litotes* (a form of understatement in which one states something by negating its opposite: “not bad,” “not unattractive,” etc.) or *hyperbole* (exaggeration, “the lecture went on *forever*”) affect the meaning of words, while figures (or schemes) such as *anaphora* (the repetition of a word or phrase at the beginning of a series of clauses, used for force and emphasis), *hyperbaton* (change in syntax or word order), or *aposiopesis* (breaking or trailing off so as to call attention to what is left unsaid) affect their placing or repetition.

In *Classical Rhetoric in English Poetry* (1989) Brian Vickers notes that recent scholarship privileges tropes, especially metaphor, a complaint reiterated elsewhere by scholars such as Gérard Genette and Jeanne Fahnestock. Indeed, the deconstructionist critic Jonathan Culler has referred to metaphor as the “figure of figures, a figure for figurality” (1983, *The Pursuit of Signs*, 189), while Hayden White has called it the master of the four so-called master tropes singled out by Burke (metaphor, metonymy, synecdoche, and irony; 1973, *Metahistory*, 33). Many figures, by contrast, have been dismissed as technical curiosities, antiques better left to molder in dusty handbooks of rhetoric, yet Vickers and others argue that they have received short shrift: figures are vehicles for emotion. To give but two examples: a change in syntax can signify powerful feeling—a fragmented sentence, for example, could communicate the strain or stress of emotional disturbance, while by leaving the essential unsaid, *aposiopesis* may express grief or suspicion more powerfully than any explicit statement.

Classical Hellenic and Roman rhetoric divides style into four chief components: correctness, clarity, appropriateness, and ornamentation. It also accords great importance to the figures of speech. In his 1593

treatise *The Garden of Eloquence*, regarded as one of the greatest books in English on the subject, Henry Peacham defines figurative language as forms of speech that lend grace and strength to language, enabling orators to sway their listeners.

What role does figurative language play in literature, and more specifically in the novel? As noted above, in *The Rhetoric of Fiction*, Booth argues that authors intervene in their narratives to provide the reader with information about the otherwise inaccessible inner lives of their characters. Since Gustave Flaubert, who recommended that the author disappear behind his work, one of the guiding principles of modern fiction has been “show, don’t tell.” The novelist is supposed to become a *deus absconditus* who is absent from his creation: no authorial intrusions allowed. Booth counters that even deliberately self-effacing narrators continue to fulfill their age-old role of rhetorical persuaders, manipulating us into siding with this character or that one, coming at the fictional material from a particular angle, even skewing or distorting the facts, as is the case with the notorious “unreliable narrator.” According to Booth, authors of fiction cannot shrug off their role of rhetors so easily.

It remains to determine the role of figurative language in this enterprise of rhetorical persuasion. One answer is that devices such as metaphor increase the reader’s sense that the fictional world exists palpably and concretely. In his study, *Proust’s Binoculars* (1963), an exploration of the author’s optical imagery, Roger Shattuck writes that Marcel Proust provides us with “an image combined out of many images,” and suggests that his prodigious layering of metaphors contributes to our sensation that the author has actually succeeded in re-creating the world (107). Booth’s work suggests another possibility: tropes offer a glimpse into the recesses of characters’ minds. One of the most famous

figures in Proust is the extended metaphor of the water gods in *Le Côté de Guermantes* (1920–21, *The Guermantes Way*), in which the prestigious aristocrats ensconced at the theater in their boxes (in French *bañoires*, or “bathtubs,” hence the aqueous imagery) appear to look down upon the groundlings in the orchestra like divinities in a watery realm. Here the metaphor becomes an expression of the protagonist’s anguished desire for inclusion in elite aristocratic society.

In *The Art of the Novel* (1988), Milan Kundera offers a contrast between metaphors from Rainer Maria Rilke’s *Die Aufzeichnungen des Malte Laurids Brigge* (1910, *The Notebooks of Malte Laurids Brigge*) (“Already his prayer drops its leaves and juts out of his mouth like a dead shrub”) and Hermann Broch’s *Die Schlafwandler* (1932, *The Sleepwalkers*) (“He wanted unambiguous clarity: he wanted to create a world of such clear simplicity that his solitude might be bound to that clarity as to an iron post”; Kundera, 140). He argues that the former serves primarily an ornamental function while the latter reveals the character’s existential attitude and furthers the phenomenological vocation of the novelistic genre. While novelists often employ the same rhetorical devices as orators or lyrical bards (or, for that matter, as advertising copywriters), the constraints and traditional parameters of the novel lead them to orient those devices toward ends germane to the genre. In *How Fiction Works* (2008), James Wood argues that the use of metaphor in a narrative fiction sums up the essence of imaginative writing. Every metaphor or simile is “a little explosion of fiction within the larger fiction of the novel or story” (202). For Wood, the leap toward the counterintuitive is the secret of powerful metaphor. Figurative language that defamiliarizes packs the greatest punch, though straining for flashy effects does little but

draw unnecessary attention to the author's rhetorical gymnastics.

Some figures of speech (or patterns thereof) bring to mind the usages of a particular author. *Aposiopesis*, or "breaking off" (often typographically rendered with a dash), is a trope favored by Laurence Sterne, who uses it to particularly effective comic purpose at the conclusion of *A Sentimental Journey* (1768):

—But the Fille de Chambre hearing there were words between us, and fearing that hostilities would ensue in course, had crept silently out of her closet, and it being totally dark, had stolen so close to our beds, that she had got herself into the narrow passage which separated them, and had advanc'd so far up as to be in a line betwixt her mistress and me— So that when I stretch'd out my hand, I caught hold of the Fille de Chambre's—"The Case of Delicacy")

Translation can also highlight how specific rhetorical strategies underpin an author's style. The translator runs the risk of either hewing too closely to the syntactic structure of the original or attempting to iron out its idiosyncrasies. The critic André Aciman has pointed out that recent attempts to improve upon existing translations of Proust have fallen into the latter trap. He notes one such error in the translation of the opening sentence of the second volume of Proust's *À la recherche du temps perdu* (1913–27, *Remembrance of Things Past*), which employs *anacoluthon*, an abrupt change of syntax within a sentence, in order to wind its way sinuously to a sharp, unexpected comic conclusion. In trying to smooth out the difficulties of Proustian prose, the translator avoids grammatical solecisms but transforms Proust's distinctive style and hijacks his underlying literary intentions. Aciman's gripe with Proust's translators

highlights our tendency to fall into predictable linguistic and rhetorical ruts. Paradoxically, as Richard Lanham has observed, clichés, which he characterizes as "petrified metaphors," stem from discontent with plain, everyday utterance. Lanham argues that we invent tautological and periphrastic ways of saying what could be said more plainly simply as a means of relieving tedium. But the sum total of these whimsical individual efforts turns out to be more tedious still. Echoing age-old ideas about art's role in renewing language, Lanham suggests that we need literature to shake us out of our bad habits by doing things with words that are truly fresh and creative.

BIBLIOGRAPHY

- Aciman, A. (2005), "Proust's Way?" *New York Review of Books*, 1 Dec.
- Bakhtin, M. (1981), "Discourse in the Novel," in *Dialogic Imagination*, ed. M. Holquist, trans. C. Emerson and M. Holquist.
- Barthes, R. (1977), "The Death of the Author," in *Image, Music, Text*, trans. S. Heath.
- Berube, M. (2005), "Engaging the Aesthetic," in *Aesthetics of Cultural Studies*, ed. M. Berube.
- Bizzell, P. and B. Herzberg (1991), *Rhetorical Tradition*.
- Booth, W. (1983), *Rhetoric of Fiction*.
- Burke, K. (1969), *Rhetoric of Motives*.
- Eagleton, T. (1983), *Literary Theory*.
- Fahnestock, J. (2002), *Rhetorical Figures in Science*.
- Fish, S. (1989), "Rhetoric," in *Doing What Comes Naturally*.
- Genette, G. (1982), "Rhetoric Restrained," in *Figures of Literary Discourse*, trans. A. Sheridan.
- Hale, D. (2009), "Aesthetics and the New Ethics," *PMLA* 124(3):896–905.
- Kallendorf, C., ed. (1999), *Landmark Essays on Rhetoric and Literature*.
- Lanham, R.A. (1974), *Style*.
- Mailloux, S. (2001), "Interpretation and Rhetorical Hermeneutics," in *Reception Study*.
- Phelan, J. (1996), *Narrative as Rhetoric*.

- Rabinowitz, P. (1977), "Truth in Fiction," *Critical Inquiry* 4:121–41.
- Rabinowitz, P. (1987), *Before Reading*.
- Shaw, H. (1983), *Forms of Historical Fiction*.
- Wimsatt, W.K. and M.C. Beardsley (1946), "The Intentional Fallacy," *Sewanee Review* 54:468–88.

Rogue Novel see Iberian Peninsula; Picaresque Novel

Roman see Romance

Roman à clef see Copyright/Libel

Romance

LORI H. NEWCOMB

The history of the novel, as the preeminent fiction form of the modern world, is so inextricable from the longer history of romance that most languages except English use a single word for all extended prose fictions. In Spanish that single word is *novela*, but many other languages still draw on the older tradition: *der Roman*, *le roman*, *il romanzo*. This entry, treating "romance" in an encyclopedia of the "novel," necessarily reflects English-language usage in distinguishing the two. However, it resists an Anglocentric model of fiction history, dominant in the nineteenth and twentieth centuries, that defined "novels" as ambitious, avowedly realist, fictions by modern authors (along with a few precursors), while implying that romances were not just formally distinct but developmentally inferior. Today, genre theorists recognize that the line drawn between novel and romance was and is provisional. Romance, then, includes much of the West's non-novelistic prose fiction, but not just *pre-novelistic* prose fiction, for romance did not become an atavism upon the novel's conception. Romances are written and read today not merely as ancestors of the novel; although often set in a version of the past, they are living kin. The romance space outside nov-

elistic norms—timeless and boundless, deliberately conventionalized, idealized, even fantastic—remains compelling to writers and audiences.

Romance "as a *genre* is impossible adequately to define" in more positive terms (Saunders, 1–2), because its texts live in exchange between languages and cultures, authors and translators, past and present, verse and prose. That fluidity reflects the term's origins in cultural juncture. Early in the twelfth century, *romanz* named the vernaculars, such as old French and Anglo-Norman, derived from Latin by lay speakers. By the century's end, "romance" was applied metonymically to the secular texts most widely translated into, or produced in, those vernaculars: idealized adventures of historical heroes and their imagined courts. Audiences fluent in French or Anglo-Norman consumed metrical romances gathered from three distinct traditions: the "matter of Rome," or *romans antiques*, treating Troy, Thebes, or Alexander the Great; the "matter of France," featuring Charlemagne and Roland; and the "matter of Britain," Celtic legends of Arthur. A fragmentary fourth "matter of England" can be glimpsed in Anglo-Norman romances with northern ties: *Havelok the Dane*, *Guy of Warwick*. All four matters were intercultural, syncretizing old verse forms and epic values with Christian virtues in the European aristocracy's defining chivalric code. The matter of Britain, with its greater interest in the supernatural and in heterosexual love, grew most in scale and sophistication. Prose versions outstripped the verse romances and originated the influential technique of "interlace," the interweaving of multiple plots; by 1485, Malory's *Le Morte d'Arthur* compassed the Arthurian tradition in 507 chapters.

The last wave of chivalric prose romances came from Iberia. *Amadis de Gaula*, first published in 1508 in Castilian by Garci

Rodríguez de Montalvo, furthered romance's tendencies toward erotic frankness, magic, and length. Its many volumes, translations, and imitators profited from the expansion of the print market to reach a massive audience across Europe. New works in the Peninsular mode were written in seventeenth-century England, long after the continental vogue had faded. Writers ranging from the masters of the Spanish Baroque to English spiritual autobiographers cited the romances, or later chapbook redactions, as their earliest reading. Romance, in other words, continued to exceed the boundaries of national traditions, literary fashions, and authorial names. It was a Spaniard who indelibly satirized its excesses: Miguel de Cervantes Saavedra in *Don Quixote* (1605, 1615) portrayed an old man so addled by romances that he believes himself a knight. *Don Quixote* was an expanding text too, but newly aware of its print medium: in pt. 2, Don Quixote meets characters who have read pt. 1. That material self-reflexivity recurred in the eighteenth-century novel.

By 1600, many of romance's present senses were clearly established: its roots in the new Romance languages, its historical grounds, its characteristic quest structure—and its audience appeal across boundaries of era, nation, class, and gender. The vernacular and secular romance did not merit formal analysis by monastic scholars; nor was it clearly distinguished from “history.” Even today, the breadth of romance defeats genre theory: it includes tales of adventure and/or love and/or the supernatural, in prose and/or verse, set in distant and/or past lands, centered on protagonists who are male and/or female, invented and/or historical, written for the pleasure and/or instruction of an aristocratic and/or popular audience. Not surprisingly, some contemporary critics have argued that romance is not a genre but a mode of heroism (Northrop Frye),

a language of multiplicity (Parker), a set of memes like shipwrecks and transposed birth (Cooper), or strategy for cultural translation (Fuchs). In the Renaissance, the unclassifiability of romance spurred distrust. Humanist writers condemned romances as immoral love stories especially pernicious to youth, foolishness for women, falsifications of history, or Romish trickery. The fear that romances were lies for the ignorant raised the bar for early modern romance writers.

A retrospective definition of romance can identify two dynamics of diversification in the early modern era, two ways for writers to use romance while evading formal or moral disapprobation. First, romance exchanged its memes and strategies with longer-established genres, such as verse epic. Second, romance itself proliferated subgenres, with new forms sometimes called “novel,” at first simply meaning “new.” The modern era resolved these dynamics by splitting fiction into the two genres that the English call novel and romance, and the French (for instance) *roman* and *roman moderne*. Of course this split was not uniform, inevitable, or final; the modern novel continued to absorb romance resources.

In the first dynamic, romance strategies enlivened the verse epics and allegories that grounded Europe's emerging national literatures. Interlace supported the complexity of Ludovico Ariosto's Roland epic, *Orlando Furioso* (1516); Torquato Tasso's epic of the Crusades, *Gerusalemme liberate* (1581, *Jerusalem Liberated*); and Edmund Spenser's unfinished Arthurian *Faerie Queene* (1590, 1596). These verse epics raised the stakes for prose romance, too. Sir Philip Sidney insisted in his *Defense of Poesie* (wr. 1579) that a true poem could be written in prose and still offer “notable examples” of virtue, powerfully asserting fiction's superiority to history. Sidney demonstrated his claim only partially in the revision of his romance *The Countess of Pembroke's Arcadia*, left

incomplete on his death in 1589. Still, his revision joined continental humanists in devising the romance theory that Aristotle lacked: Sidney's models included Jacopo Sannazaro's Italian pastoral *Arcadia*, Jorge de Montemayor's *Diana*, and Heliodorus's *Aethiopica*. The latter (ca. 300 CE) was one of five Greek love-fictions rediscovered in the Renaissance and thenceforward attached to the Western romance tradition (suggesting that romance germinated as epic's counter-narrative). Romance even structured the Puritan allegory that was, for two centuries, the most influential English book after the King James Bible, John Bunyan's *Pilgrim's Progress* (1678). Chapbook versions of chivalric tales were the only books in Bunyan's hardscrabble village. After his conversion, he was inspired to treat the road to salvation as a very humble chivalric quest. The everyman Christian must escape the Giant Despair and fight the dragon Apollyon in order to win a golden crown beside God. Romance memes guided the autodidact writer and gripped his earnest readers.

Ambivalence about romance also led to a second dynamic, the constant assertion of new fiction subgenres. Some genres were named as subsets of "history"; other genres had names like "novel" that signified new literary decora. There was no consistent evolution, however. Since fiction was still theorized as offering exemplary ideals, the new romance subgenres primarily sought verisimilitude, which had more to do with the lifelike depiction of the best human actions than the pursuit of documentary truth. Verisimilitude was seen to vary with stories' framing, length, or narratorial embellishment. As early as the sixteenth century, short tales called *novellas* or *nouvelles* were gathered in framed collections imitating the manuscript *Decameron* of Giovanni Boccaccio from the 1350s, among them Matteo Bandello's *Novelle* (1554); the

Heptaméron (1558), attributed to Marguerite de Navarre; William Painter's translated sampler, *The Palace of Pleasure* (1566); and Cervantes's *Novelas Exemplos* (*Exemplary Novellas*, 1613).

A more recognizable "novel" was opposed to "romance" in William Congreve's polished *Incognita, or, Love and Duty Reconcil'd*, still in length a novella. Congreve's preface (1692) anticipates definitions hammered out a century later:

Romances are generally composed of the Constant Loves and invincible Courages of Hero's, Heroins, Kings and Queens, Mortals of the first Rank, and so forth; where lofty Language, miraculous Contingencies and impossible Performances, elevate and surprize the Reader into a giddy Delight. . . . Novels are of a more familiar nature; Come near us, . . . delight us with Accidents and odd Events, . . . such which not being so distant from our Belief bring also the pleasure nearer us. ("Preface to the Reader")

Yet only forty years before Congreve, romance had peaked in prestige in the enormous *romans héroïques* produced in the French salons. As before, gentlemen and ladies passed historical fictions across the Channel; since these now ran to ten volumes, the readers themselves were heroic. It was an open secret that titles published under the name of M. de Scudéry, such as *Ibrahim ou l'illustre Bassa* (1641–42, *Ibrahim: or the Illustrious Bassa*) and *Artamène ou le Grand Cyrus* (1649–53, *Artamene, or the Grand Cyrus*), were written by his sister, and that European current events were legible in these Orientalist settings. England's royalist exiles borrowed the strategy for manuscript romances about the Civil War.

The name of innovation then reverted to "history," with a more compressed ideal achieved in the French *petite histoire*, most notably Madame de Lafayette's psychologically penetrating *Princesse de Clèves* (1678,

The Princess of Cleves). In England, a new generation of professional women writers offered works on the boundaries of fiction called “secret histories” or, if short, “novels.” Aphra Behn, England’s signal professional woman author, exploited a Grub Street gray area by asserting that her *Oroonoko, or, the Royal Slave* (1688) was an eyewitness history. In fact, the text mixes accurate colonial observation, romance idealization of her African protagonist, and disturbing sensationalism. In the eighteenth century, “secret histories” by Mrs. Manley clearly were political allegories, while the “novels” of Eliza Haywood unleashed romance’s dark secret, wronged female desire. The moralizing male writers of England’s mid-eighteenth century, whose domestic realism would soon define the modern novel, were uncomfortably aware that many “romances” and “novels” were erotic; in *The History of Tom Jones, a Foundling* (1749), Henry Fielding mocked “foolish Novels” and “monstrous Romances” (bk. 9, chap. 5).

In 1785, Clara Reeve’s *Progress of Romance* asserted that after romance declined into heroic monstrosity, “the modern Novel sprung up out of its ruins” (8). Longer retrospect shows that even the canonical novels depended on romance subtexts for their reality effects. In 1740–41 Samuel Richardson’s Mr. B. threatened that he and Pamela could “make out between us, . . . a pretty Story in Romance” (*Pamela; or, Virtue Rewarded*, vol. 1, letter 15). Mr. B. implies that Pamela’s fears are romance-fanned desires. The hint that romance is the novel’s antagonist was taken up in Charlotte Lennox’s *Female Quixote* (1752). (By 1801, the naïve American girl in Tabitha Gilman Tenney’s *Female Quixotism* was misled by *novels*.) Yet Richardson’s writing sometimes encodes his youthful affection for chivalric romances, as when he names Mr. B.’s Swiss manservant, feared

by Pamela as a hairy monster, after Colbrand—the romance giant defeated by Guy of Warwick, a squire of low degree, in winning the lady Felice.

Nineteenth-century England claimed Fielding and Richardson as fathers of the modern novel, its realism a clean break with romance. Realism firmly appropriated literature to a nationalist agenda: fiction’s lessons were no longer delivered from placeless idealizations but from individuals’ lived, national particularities. Non-English-speaking literatures continued to call their new prose productions *romans*, yet their equation of realism to modernity tacitly followed England’s disowning of romance. Our growing sense of the novel’s transnationalism reveals a material difference between romance and novel: while romance was “effortlessly” translated for international traffic, the novel pursued authorial style and national identity so deliberately that it resisted translation (McMurrin, 9).

A corollary was that romance was now relocated in time: a genre constantly reborn at the crossroads of history and fiction was reduced to dead, idealized past-ness. So misunderstood, romance became newly productive for the novel, and for modernity, as a literary license for fictive alternatives to the present. Hence writers rehabilitated “romance” for certain kinds of nonrealistic writing, not least romanticism. On a hint from Coleridge, Victorian Shakespeare critics called the late plays “romances” while suppressing their ties to early prose fictions. In a positivist age, Sir Walter Scott licensed his historical fictions by calling them romances. In America, Nathaniel Hawthorne claimed that the subtitle of *The House of the Seven Gables: A Romance* (1851) gave the work “a certain latitude, both as to fashion and material,” not available in “writing a Novel” (“Preface by the Author”). As Henry James confirmed, such romance was

sternly repressed in New England; Europe was romance's ancient and natural home. However, one mid-twentieth-century literary theory held that America's outsize experience grew its novels into "American romances." Increasingly, romance was a lost sense of the mythic that high modernism could filch from any culture's early literature. The 1925 English translation of the great Ming Chinese tale *Three Kingdoms*, a rigorous historical fiction, was dubbed *Romance of the Three Kingdoms*. Jessie L. Weston's reading of the Grail cycle in *From Ritual to Romance* (1920) shaped T. S. Eliot's *The Waste Land* (1922). In *Anatomy of Criticism* (1957) and *The Secular Scripture* (1976), Northrop Frye elaborated romance as a transcultural mode of lost heroism. Sigmund Freud's theory of *Familienroman* ("family romance"), first published in 1909, reads the romance meme of transposed birth as a formative stage in psychological development. These revivals and extensions prove that romance remains a powerful resource for fantasy in a world constrained by realism.

Romance still enriches modern novels in several registers. Romance as enfolded storytelling, creating a complex but otherworldly world, became the basis for the modern fantasy genre. The world of medieval romance is transposed in fantasy's first masterpiece, J. R. R. Tolkien's *Lord of the Rings* trilogy (1954–55), and its youngest blockbuster, J. K. Rowling's Harry Potter cycle. Ironically, the contemporary formula genre known as "romance" hews closer to the novel than romance in insisting that its likable female protagonist and her initially repellent wooer are developing characters. The readers of formula romance are intensely active in shaping their genre, in response to their changing wishes and even to literary critique. The readership of formula romance demonstrates that the long habit of defining romance by its audience has

a positive basis. Granted, the serious novel disowned audiences' pleasure in the inchoate and formulaic, and literary authorship cannot revert to the nameless collaborations that first circulated romance. Yet today's novelists still need romance's capacity to engage audiences in counterfactual, border-crossing narratives. The contemporary transnational novel embraces many strategies—historical layering, embedded and infolded tales, quests and cycles, intertextual ties to multiple national traditions—from among the endless resources of romance.

BIBLIOGRAPHY

- Aravamudan, S. (2005), "Fiction/Translation/Transnation," in *Companion to the Eighteenth-Century Novel and Culture*, ed. P. R. Backsheider and C. Ingrassia.
- Ballaster, R. (1998), *Seductive Forms*.
- Cooper, H. (2004), *English Romance in Time*.
- Fuchs, B. (2004), *Romance*.
- Heng, G. (2003), *Empire of Magic*.
- McMurrin, M.H. (2010), *Spread of Novels*.
- Parker, P.A. (1979), *Inescapable Romance*.
- Pearce, L. (2007), *Romance Writing*.
- Reeve, C. (1785), *Progress of Romance, through times, countries, and manners*.
- Saunders, C., ed. (2004), *Companion to Romance*.
- Warner, W.B. (1998), *Licensing Entertainment*.
- Whitmarsh, T., ed. (2008), *Cambridge Companion to the Greek and Roman Novel*.

Romans héroïques see Romance

Romantic Novel see France (19th Century)

Russia (18th–19th Century)

ILYA KLIGER

The rise of the Russian novel in the middle of the eighteenth century coincides with a period of intense interest in and TRANSLA-

TION of narrative works from Western Europe. In the period from the 1730s to the 1760s, *précieux* ROMANCES and PICARESQUE and politico-PHILOSOPHICAL novels appeared in translations from French and English in handwritten and printed editions. Along with translations came the first attempts to defend the novel against the attacks of the neoclassical literary establishment. Most of these defenses reiterated Pierre Daniel Huet's celebrated argument in *Traité de l'origine des romans* (1670, Treatise on the origin of romances) which claimed that the novel can serve as a powerful tool for communicating and inspiring virtuous principles through pleasurable entertainment.

However, dominant views on the value of the novel did not start shifting to its advantage until the last decades of the century. In the period between 1769 and 1794, a new wave of translations brought attention to masterpieces of the sentimentalist and pre-romantic novel. Jean-Jacques Rousseau's *Julie, ou la Nouvelle Héloïse* (1762, *Julie, or the New Héloïse*), Samuel Richardson's *Pamela* (1740) and *Clarissa* (1747–48), Henry Fielding's *Tom Jones* (1749), Oliver Goldsmith's *The Vicar of Wakefield* (1766), and perhaps most influentially Laurence Sterne's *A Sentimental Journey* (1768)—all were translated at this time. Translations of the English novel, less readily accessible in the original to the French-speaking members of the aristocracy, made a particularly strong impact. It was no longer possible to think of the “good novel” as, by virtue of its genre, an exception.

The elevation of the status of the novel as a GENRE did not immediately result in increased esteem for its native manifestations. As late as 1809, in his account of the novel, professor of Russian eloquence and poetry Aleksei Merzliakov (1778–1830) provides a long list of respectable novelists without mentioning a single Russian name.

1763–90: THE RISE OF “SERIOUS REALISM”

The first original Russian novel appeared in 1763. Written by Fyodor Emin, it was a quasi-autobiographical adventure narrative entitled *Pokhozhdeniia Miramonda* (*Adventures of Miramond*). *Miramond* presents the life of a virtuous nobleman from Constantinople, sent abroad by his father to study the “science of politics.” The novel is marked by generic eclecticism, combining a politico-philosophical premise with an adventure plot, endowed with lengthy ethno-geographical digressions, studded with inserted novellas of the fairytale variety and unified by a love intrigue, in which the protagonists' love is tested through ordeals.

After *Miramond*, Emin went on to write the first Russian politico-philosophical novel as well as the first original EPISTOLARY sentimental novel. In the next two decades, a number of Russian original novels appeared, most following the generic topography traced out by Emin. A significant innovation was introduced by Mikhail Chulkov, whose novel *Prigozhiaia povarikha* (1770, *The Comely Cook*) treats the picaresque adventures of Martona, an officer's widow, forced by circumstance to become a prostitute. Written in the first person, the novel takes place in recognizable Russian locales and is motivated by something like a “historical realist” premise: Martona's sad predicament results from her husband's death during the Russo-Swedish war (see HISTORICAL).

A qualitative leap past the formal and generic limitations of the earliest instances of the Russian novel is achieved by Aleksandr Radishchev in his seminal *Puteshestvie iz Peterburga v Moskvu* (1790, *Journey from Petersburg to Moscow*). Superficially modeled on *Sentimental Journey*, the novel is broken up into chapters, containing episodes that invoke in the sensitive and

thoughtful traveler-narrator a feeling of dissatisfaction with the state of affairs in the country, followed by more abstract considerations on the proper form of political and social organization. The novel thus accomplishes a synthesis of previously unmixable narrative genres, combining elements of the politico-philosophical novel with close attention to the concrete conditions of contemporary Russian life. Here, for the first time, the “low” material of contemporary life deserves to be treated in “high,” neo-classical generic codes. *Journey* can thus be said to inaugurate, in Russia, the practice of what Erich Auerbach has called “serious REALISM.”

NIKOLAY KARAMZIN: STYLISTIC REFORM AND THE CREATION OF THE AUTHOR

To a mid-nineteenth-century Russian reader, however, Radishchev's *Journey* would sound antiquated. This is largely due to a revolution in literary language consummated in the work of his younger contemporary, Nikolay Karamzin. Karamzin's reform, accomplished primarily in the early 1790s, modeled the language of prose narrative on the conversational conventions of “polite” aristocratic society (see *DIALOGUE*). The Karamzinian style avoided the intricacies of the Church-Slavonic sentence, minimizing syntactic subordination in favor of rhythmic parallelism with clear intonational schemes. Lexically, it displayed a penchant for alliteration and assonance. It also avoided “high,” neoclassical Slavonicisms as well as the “common” language of the people and professional jargon. In his sentimental short stories, Karamzin and his followers achieved a “middle style,” creating an elegant, “polite” Russian to replace the French that was used by default in high society.

In addition to elevating the “middle style” to respectability, Karamzin developed a highly individualized figure of the narrator. His *Pis'ma russkogo puteshestvennika* (1791–92, *Letters of a Russian Traveler*) represents, like Radishchev's *Journey*, a mixture of empirical observation and lyrical-philosophical evaluation. But while Radishchev's narrator is projected as “man in general,” pained by how far contemporary Russian life falls short of the ideal implanted in him by Nature, the authorial figure in Karamzin appears to the reader as more intimately connected with the biographical author himself. Karamzin, the person known in polite society, and K*, the author of the *Letters*, thus merged, creating the figure of a Russian writer as a sensitive, enlightened individual and a full-fledged contemporary of the political and intellectual life of Western Europe.

Throughout the nineteenth century, following Karamzin (as well as Radishchev), Russian novelists would continue to transcend their narrowly professional limitations, aspiring to the status of (and received as) social commentators, moral visionaries, political activists, and martyrs.

THE 1820s AND 1830s: PUSHKIN

The literature of the first two decades of the nineteenth century was dominated by smaller literary forms—elegies, ballads, epigrams, short fiction—fit for presenting in polite society and published in elegant, illustrated almanacs. Prominent among longer narrative genres was the long romantic poem, most gloriously represented by Alexander Pushkin's four so-called “Southern poems.” Pushkin's romantic narrative poems (following and building on Lord Byron's (1788–1824) trailblazing use of the genre) were characterized by an intense focus on the inner life of a superior hero, on an

elaboration of his mysteriously motivated estrangement from the social world, and on his tragic adventures in the exotic “South.”

It is largely against the horizon of expectations established by this genre that the first canonical Russian novel was written and received. Pushkin’s “novel in verse,” *Evgenii Onegin* (1823–30, *Eugene Onegin*), frustrated these expectations, inserting the eponymous Byronic hero into the concrete and prosaic world of contemporary Russia, enveloping him in friendly but consistent narratorial irony and granting other character perspectives status at least equal to that of the hero.

The great literary critic of the 1830s–1840s, Vissarion Belinsky (1811–48), the great literary critic of the 1830s and 1840s, famously referred to Pushkin’s novel as “an encyclopedia of Russian life.” Indeed, the novel represents a wide range of concrete geographic locales, social classes, and cultural institutions, achieving through such sociohistorical concretization the deflation of the hero from the status of a representative of the universal human condition of Damnation and Exile to that of a more modest type—a disenchanting modern Russian nobleman.

More than an encyclopedia of Russian life, however, the novel is an almanac of contemporary sociohistorical discourses, serving as the first example of what Mikhail BAKHTIN has called the “polyphonic novel” in Russia. Coming together here, within the highly dynamic space of the “Onegin stanza” (iambic tetrameter; rhyme scheme aBaBccDDeFFeGG), are multiple discursively embodied worldviews: neoclassicist, sentimentalist—Karamzinian, German romantic, Byronic, etc. The hero’s actions and worldview are thus ironized or rendered relative to other, competing worldviews represented or implicit in other characters’ behavior and speech.

Finally, unlike the romantic poem out of which this “novel in verse” appears to have

grown, the figure of the author is here highly individuated, playfully close to the biographical Pushkin and resolutely distinct from the romantic hero. In fact, it is ultimately the author-narrator of the novel who occupies center stage with his *salonnier* virtuoso capacity to switch codes, tones, and moods, as well as with his whimsical treatment of the plot (see NARRATIVE TECHNIQUE). The narrator of *Eugene Onegin* continues the traditions of the Karamzinian author, rejecting a strict demarcation between literature and life, staging their reciprocal involvement in, and dependence on, each other.

THE EARLY 1840s: LERMONTOV, GOGOL

The “*Onegin* line” of the Russian novel found its most immediate and significant development in Mikhail Lermontov’s fragmentary novel, *Geroi nashego vremeni* (1839–40, *Hero of Our Time*).

Throughout the 1830s, the novel in Russia had an easier time accommodating great historical events than contemporary Russian life. This was evidenced by the surge of original historical novels, influenced by the works of Walter Scott on the one hand and French novelistic historiography (Comte de Vigny, Victor Hugo) on the other. Pushkin’s only other completed novel, *Kapitanskaia dochka* (1836, *Captain’s Daughter*), set during the great peasant uprising under the leadership of Yemelian Pugachev, represents the culmination of that movement.

Meanwhile, contemporary Russian life—apparently offering little material for a dramatic intrigue in which particular events might have universal resonance—was treated in shorter prose tales or cycles of tales. Lermontov’s novel took its shape in sublating precisely the form of such a cycle. It is made up of five novellas, representing

the major short narrative genres of the 1830s (a physiological sketch, an adventure tale, a slightly ironized GOTHIC novella, a society tale, and a philosophical tale) and unified through the figure of a single protagonist, Pechorin, an officer in the Caucasus and the “hero of his time.”

Three of these tales appeared separately in a journal, and two more were added for the separate edition. The tales were arranged concentrically rather than chronologically (see TIME), narrowing in on the mysterious and fascinating personality of the hero. First Pechorin’s adventures are given to us in the voice of his simple-minded roommate in the Caucasus; next we get the perspective of the more insightful narrator, and finally that of Pechorin himself: the last three tales are narrated under the subtitle “Pechorin’s Journal.”

A heightened, more thoroughly psychologized and historicized version of Onegin, Lermontov’s protagonist harkens both back to the Byronic narrative poem and forward to the practices of PSYCHOLOGICAL realism in Ivan Turgenev, Fyodor Dostoyevsky, and Leo Tolstoy. He also both foreshadows and precipitates the crucial position of the figure of the fascinating hero as the unifying principle in the nineteenth-century Russian novel form.

Nikolay Gogol’s *Mertvye dushi* (1842, *Dead Souls*) completed the triumvirate of early canonical Russian novels. It, too, is symptomatic of a certain looseness of contemporary Russian society, which made it difficult to find a dramatic unifying principle for the long narrative form and rendered early experiments in novelistic realism fragmentary and episodic (see NARRATIVE STRUCTURE). *Mertvye dushi* recounts the story of a former civil servant and crook who manages to wheedle from a number of landowners the legal titles of their deceased serfs (referred to as “souls” in pre-emancipation Russia) in order to use them as collateral for a loan. In the course of his journey from estate to estate, he

encounters a number of memorably grotesque landowners, whose estates are represented as their proper milieu.

While *Evgenii Onegin* draws on minor salon genres as well as on the long romantic poem, and Lermontov’s *Geroi nashego vremeni* pushes off of the tale cycle, *Mertvye dushi* (projected as the *Inferno* of a Dantean trilogy and subtitled “poema” or “narrative poem”) owes much to the picaresque tradition from *Gil Blas* to Fielding’s “comic epic poems in prose” to the most prominent nineteenth-century Russian practitioner of the genre to date, Vasily Narezhnyi.

“THICK JOURNALS,” THE NATURAL SCHOOL, AND THREE DEBUTS

The three works that jump-started the Russian novelistic tradition in the nineteenth century were written for a small audience of highly educated and mostly aristocratic readers. Each projected a cultivated image of the narrator, who would address the reader directly over the heads of the characters and who might meet that reader on any given night in society. In the late 1830s and into the 1840s this intimate relationship between author and reader began to dissolve. The institution of literature became more spacious; readership grew and became increasingly variegated. Reflecting and promulgating this development, the institution of the *tolsty zhurnal* (“thick journal”) came to the foreground of Russian literary life. In these, installments of serialized novels (see SERIALIZATION) would appear together with essays on current events, history, philosophy, the natural sciences, fashion, etc.

The thick journal, with fiction as its lifeblood and literary criticism at its heart, would play a major role in the development of the public sphere in Russia. In the environment of strict governmental censorship, literary criticism often served as a clandestine

forum for the explication of political views implicit in literary texts. Heading the criticism section of the foremost thick journal of its time, *Otechestvennye zapiski* (*Fatherland Notes*), Belinsky promoted the figure of the literary critic to the status of a public intellectual, instructing his readers not merely on how to read but also on how to think and live.

The most prominent non-noble member of the nineteenth-century literary institution, Belinsky took up the struggle, in the 1840s, for a “poetry of the real” that would treat the various aspects of Russian life previously considered unworthy of artistic representation. With Belinsky’s encouragement, the genre of the “physiological sketch” thrived, taking its name from the contemporary genre of the French *physiologie*. Keeping plot to a minimum, the sketch described the lower strata of St. Petersburg and Moscow society, focusing on petty clerks, prostitutes, indigent artists, and their determining milieus: garrets, poor neighborhoods, back streets, and marketplaces. In large part through Belinsky’s efforts, two collections of such sketches came out, canonizing the literary practice of what came to be known as the Natural School (see NATURALISM).

The acknowledged master of the Natural School was Gogol, whose stories and novel, brilliantly elaborating relations between individual and environment, served as a source of inspiration to its younger practitioners. Extending the principles of the Natural School, three of them made significant contributions to the history of the Russian novel. In his novelistic debut, Dostoyevsky drew in particular on Gogol’s sketch “Shinel” (1842, “The Overcoat”), adopting the type of a lowly copy-clerk, dim, inarticulate, and so immiserated that a new overcoat becomes an object of his deepest yearning, for an epistolary novel quite “physiologically” entitled *Bednye liudi* (1845, *Poor Folk*). In the process

of this generic mutation, the civil servant acquires many of the well-known characteristics of a Dostoyevskian hero: sensitivity, self-reflexivity, and a deeply dialogic speech, which constantly anticipates others’ words and resists their finalizing accents (Bakhtin).

Ivan Goncharov drew on the principles of the Natural School to create the first (and perhaps only) classical Russian BILDUNGSROMAN in his *Obyknovennaia istoriia* (1847, *Common Story*). The novel depicted the disappointments of a naive, idealistic provincial in St. Petersburg, interspersing accounts of his experiences in the world with conversations about the legitimacy of the modern age as guided by the principles of bureaucratic-industrial mastery of existence.

Aleksandr Herzen took the preoccupation with the relation between hero and milieu in the opposite direction, developing an early version of the important and specifically Russian narrative form, the “superfluous man” novel. His *Kto vinovat?* (1847, *Who Is to Blame?*) endows the plot of a love triangle with historico-philosophical and political significance, staging it as a tragic conflict between gifted, ideal-bearing individualities and the suffocating world of contemporary Russia in which they are condemned to live.

THE NOVEL OF THE “SUPERFLUOUS MAN”

The 1850s were a productive period in the history of the Russian novel. During that time, Tolstoy appeared on the literary scene with some striking short stories and a quasi-autobiographical trilogy, *Detstvo, Otrochestvo, Iunost’* (1852–57, *Childhood, Boyhood, Youth*). Dmitry Grigorovich, author of some of the first short narratives on peasant life, expanded his scope in two full-size novels on the subject. Aleksey Pisemsky wrote

a novel of disillusionment not unlike Goncharov's earlier one, but less schematic and less sympathetic to "the modern age." Some of the first female novelists made their debuts: the conservative society-novelist Evgeniia Tur, the hostess of a literary salon and prolific author of family novels Avdotya Panaeva, and the progressive novelist critical of bureaucracy and high society Nadezhda Khvoshchinskaia were the most prominent of these.

But the decade came to be dominated by the novel of the "superfluous man," whose most celebrated practitioner was Turgenev. The "superfluous man" is a specifically Russian sociopsychological type, congealing as a symptom of a tragic non-contemporaneity between the increasingly compelling bourgeois ideals of democracy, reason, and free human activity on the one hand and socio-political and economic retardation enacted by the state in fear of a bourgeois revolution on the other. The superfluous hero came to typify the "men of the '40s," progressively-minded Russian noblemen condemned to live in the heavy shadow of the official IDEOLOGY of "Orthodoxy, Autocracy, and Nationality."

Though the word *lishnii* ("superfluous") was already used by Pushkin to refer to Onegin in an early draft of the novel, and though it was used in a similar sense on other occasions, the expression forcefully entered Russian literary discourse with Turgenev's first novel, *Rudin* (1856). A brilliant thinker and speaker, the novel's eponymous hero proves incompetent when it comes to "real life," bringing only confusion and pain to those who are drawn to him.

The discourse of the "superfluous man," originating with Turgenev, retroactively created a tradition for itself, recruiting Onegin, Pechorin, Belto (from *Who Is to Blame?*), and others, and thus solidifying the hero-centrism of the Pushkin–Lermontov novelistic line into a literary-critical and

historico-philosophical category. Turgenev himself wrote two more novels about "superfluous men," but the tradition can be said to culminate with Goncharov's second novel, *Oblomov* (1859). Compared with Turgenev's enlightened failures, *Oblomov* represents a degenerate version of the "superfluous man," unable to raise himself from his feudal slumber to face the realities of an increasingly bureaucratized modernity. With *Oblomov*, a particular kind of landowner protagonist became outdated, retreated into what became known in contemporary criticism as *Oblomovshchina* (*Oblomov-ism*), in the face of which the question ending Turgenev's last novel from the 1850s rang all the more urgently: "Will there be men among us?"

THE EARLY 1860s AND THE NOVEL OF THE "NEW PEOPLE"

The 1860s in the history of the Russian novel open with a controversy regarding the change of guard at the forefront of Russian sociopolitical life. The death of the reactionary Nicholas I in 1855 and the end of the Crimean War in 1856 inaugurated a period of political liberalization and reform that would eventually lead to the abolition of serfdom in 1861. In the situation of relaxed censorship, journal polemics intensified, much of it focusing on the question of who should stand at the avant-garde of the political process. A heated exchange flared up in 1858 in response to Turgenev's novella *Asya* of the same year. Nikolai Chernyshevsky, literary critic, materialist philosopher, and the leading figure of the progressive St. Petersburg journal *Sovremennik* (*Contemporary*), reviewed the novella, arguing that the time of the "superfluous man" was up. What Russia needed now, in the days of great historical promise, were active, decisive people, more socially conscious, less

preoccupied with themselves. A debate ensued in which prominent critics spoke out defending or condemning the superfluous “men of the ’40s.”

Written in large part as an intervention in this debate, Turgenev’s most celebrated novel *Ottsy i deti* (1862, *Fathers and Children*) was thus a product of the unique proximity in which fiction and JOURNALISM were produced within the literary environment dominated by the institution of the thick journal. By contrast with Turgenev’s earlier protagonists, Bazarov, the hero of *Fathers*, is a *raznochinets* (literally “a person of various or indeterminate rank”) rather than a nobleman, a naturalist rather than a humanist, active rather than reflective. He dismisses speculative philosophy, scorns art and good manners, and pledges undivided allegiance to utility. He thus enters into an ideological and ultimately personal conflict with members of the older generation, the landowning idealists of the 1840s. Bazarov is characterized by his friend as a “nihilist,” launching the term on a glorious career throughout the 1860s and 1870s as it came to signify an adherent of particular views (naturalist, materialist, utilitarian, democratic) as well as a practitioner of a certain ethos (direct, anti-hierarchical, provocatively uncouth).

The novel was badly received among both progressive and conservative critics. The majority of the former believed that Bazarov was a caricature, while the latter thought that Turgenev was too sympathetic to his hero. As was so often the case within the Russian novelistic field of the nineteenth century, critical attention soon gave way to novelistic response.

The first and most consequential of these was Chernyshevsky’s novel *Chto delat’?* (1863, *What Is to Be Done?*), written in political imprisonment and published only thanks to a series of comic blunders committed by the censors (see CENSORSHIP). To

the sullen Bazarov, Chernyshevsky’s novel opposes a number of more cheerful protagonists, the genuinely “new people,” espousing the principles of social justice, women’s emancipation, and enlightened self-interest. Unlike the earlier, exclusively male and largely isolated “superfluous men,” “the new people” was a GENDER- and number-neutral category: they could be men or women, and they could come together in groups. The events depicted in the novel were called upon to illustrate the possibility of fair and rational organization of life even in the spheres which had seemed to Chernyshevsky’s predecessors from Pushkin to Turgenev the least tractable (especially intimate relations).

Chernyshevsky’s novel was thus well suited to be retrospectively perceived as inaugurating the tradition of the socialist-realist novel of the 1930s–1950s. But in the meantime it appears to have galvanized two distinct novelistic lines, which flourished throughout the rest of the 1860s and 1870s: the “new-people” novel on the left of the political spectrum, focusing on the political education of a *raznochinets* hero and on his activism in the world; and the “anti-nihilist” novel on the right, frequently exploring the fate of an innocent victim (especially a pure-hearted young woman) seduced and misled by the cynical forces of destruction. These two lines of political novels about contemporary life were fueled by both contemporary events (discovered insurrectionary plots, trials of progressive activists, political assassination attempts) and their coverage in journalistic polemics. While few significant novelistic achievements came out of the progressive line, the anti-nihilist novel attracted important novelists such as Pisemsky (1863, *Vzbolomuchennoe more; Troubled Seas*), Nikolay Leskov (1864, *Nekuda; No Way Out*), Goncharov (1869, *Obryv; Precipice*), and perhaps most famously Dostoyevsky (1862, *Besy; Devils*).

A more immediate and highly noteworthy fictional retort to Chernyshevsky's novel came from Dostoyevsky, whose *Zapiski iz podpol'ya* (1864, *Notes from Underground*) was written from the point of view of a modern "underground man," mixing the genres of journalistic polemics and confession while addressing the burning socio-philosophical issues of the day: freedom, consciousness, reason, and social harmony. Staging, in his very style, the process whereby enlightened individualism turns against itself and reason turns into unreason, the underground man takes up Chernyshevsky's expressions and images, questioning the viability and desirability of a world organized according to enlightened self-interest. This journalistic-confessional critique of Chernyshevsky's "new people" is complemented, in Pt. 2 of the novel, by a more straightforwardly narrative rebuttal of the earlier generation of the 1840s with its "bookish" attempts to engage with the world. Thus, to the "new people" as well as to "superfluous men," Dostoyevsky opposes the figure of an underground man as the true (anti)hero of Russian modernity.

This cluster of strikingly different novelistic attempts to specify the socio-psychological makeup of the contemporary Russian *raznochinets* displays an impressive variety of views on the nature of novelistic realism. In Turgenev, the realist plot is conceived as an inexorably unfolding resistance of the pre-given world to higher ideals, producing the closest the Russian novel would come to the Western European novel of disillusionment. In Chernyshevsky, it is understood as a progressive actualization of pre-given reason in the contemporary world. And in Dostoyevsky, a new conception of realism dawns, one that the author will repeatedly put to work and articulate. Here, the actual is understood as the irrational: neither "science" nor "bookishness" can help stabilize the flux within and outside

the hero; both the hero and the world are in constant movement and thus inexhaustibly mysterious.

THE MID-1860s AND THE MULTI-PLOT NOVEL: *CRIME AND PUNISHMENT*, *WAR AND PEACE*

If according to the underground man neither the superfluous men of the 1840s, with their idealism and bookishness, nor the "new people," of the 1860s, with their reason and progress, rise to the status of a true Russian hero, then who does? *Prestuplenie i nakazanie* (1866, *Crime and Punishment*) is explicitly preoccupied with this question. An odd detective novel, where the identity of the criminal, Raskolnikov, is revealed from the very beginning and yet, in a deeper socio-psychological sense, remains mysterious until the very end, it crowns the forty-year-long tradition of hero-centrism in the history of the Russian novel. Here, throughout the novel, the *raznochinets* hero-criminal is offered a multiplicity of alternative plots to follow, each related to a particular social CLASS and ideology, each retrospectively emplotting the crime, giving it meaning. Building on Mikhail BAKHTIN's celebrated formulation, we can say that the novel presents the hero with a polyphony of plots, all carrying with them implicit world-views, each representing a possible trajectory offered by contemporary Russian life.

Overlapping with the publication of *Crime* is another great multi-plotted novel of the mid-1860s, Tolstoy's *Voyná i mir* (1865–69, *War and Peace*). Tolstoy's first full-fledged novel follows the trajectories of several aristocratic families during the time of great historical events around the Napoleonic Wars. Each of these families possesses a set of stable characteristics, shared by most of its members and connected to its position in the Russian society of the time. If in

Dostoyevsky, as much as in Turgenev, Lermontov, and Pushkin, it is always easy to identify the protagonist, here at least five characters occupy center stage and ten or fifteen more frequently merit the narrator's exclusive attention. The best candidate for a more traditionally conceived protagonist is Pierre Bezukhov, who, being orphaned, fabulously rich, and intellectually restless, emerges as the most mobile character in the novel. Like Raskolnikov, Pierre represents the space of potentiality confronted with the choice between the historically available forms of life.

Tolstoy's decision to write a historical novel at a time when the efforts of the vast majority of novelists were directed at comprehending contemporaneity was an act of literary-historical defiance. But, as Boris Eikhenbaum authoritatively demonstrates, this defiance was also a strategic detour back to the burning questions of the day. In fact, Tolstoy can be said to launch at least a threefold polemic against the dominant concerns of the present—first in his focus on the aristocracy and peasantry to the exclusion of the emerging “new people”; second, in his explicit rejection of the possibility of conscious intervention in history; and third, in his attack on women's emancipation. Still, the form of the novel as a whole owes much to the structure of the specifically contemporary Russian experience: the rootless protagonist's passionate search for a meaningful place in the midst of available socio-ideological and chronotopic possibilities.

THE NOVEL OF DISINTEGRATION IN THE 1870s: SHCHEDRIN, DOSTOYEVSKY, TOLSTOY

A decade after the abolition of serfdom, journalistic and novelistic production—spurred on by increased peasant destitution,

a surge in political violence, and continued impoverishment and disorientation among the gentry—displayed a distinctive concern for the problem of social disintegration. Anti-nihilist novels continued to explore the consequences of modernization on the educated youth and the emancipated peasantry. At the other end of the political spectrum, the “new people” novel was accommodating itself to the emergence of *narodnichestvo*, or populism, a movement of the progressive youth from the cities to the villages with a view to improving the lot of the newly emancipated peasants. But the most successful novelistic experiments in staging and comprehending social disintegration were conducted in the more traditional genre of the family novel (see DOMESTIC).

The three novels that merit particular attention here were written in a literary environment in which the suitability of the novel for registering the swiftly changing contemporary scene was being contested. In the polemical frame of his novel *Podrostok* (1875, *Adolescent*), Dostoyevsky argued that the beautiful forms of a historical novel such as *War and Peace*, while they may have been effective in representing the “extremely pleasant and delightful details” of the family life of the old aristocracy, were insufficient for capturing the flux of contemporary Russian life. A new novel would be necessary for that, one that would sacrifice architectonic perfection and aesthetic “seemliness” to the project of capturing the truth of familial and social disintegration.

This is in fact what *Podrostok* attempted to do, substituting confused and confessional first-person “notes” for Tolstoy's epic omniscience, a tortuous series of unseemly episodes for Tolstoy's providential plot guiding the lives of nations and families, the progeny of an illicit affair between a superfluous man and his married serf for Tolstoy's children of noble houses.

Thus, Russia appears before us as an “accidental family,” where anyone might come together with anyone, and the novel emerges as an equally accidental form, where characters, situations, and events fall together according to the unseemly logic of chance.

Dostoyevsky’s bitter journalistic opponent, the great satirical writer Mikhail Saltykov-Shchedrin, shared his concern for the ability of the novel to stay abreast of the radical dynamism of contemporary Russian life (see PARODY). Arguably his only full-fledged novel, *Gospoda Golovlyovy* (1875–80, *The Golovlyov Family*), took shape as a series of stories depicting three generations of degradation in the life of an aristocratic family. Through indolence, wastefulness, gambling, alcoholism, squabbles over inheritance, disease, suicide—story by story, the Golovlyov offspring ruin themselves and squander the estate. The novel’s only unifying principle is the family itself; and yet it is the family which is falling apart, making it possible to dispose of the novel form.

The aristocratic family in dissolution is the opening theme and overarching motif of Tolstoy’s second novel, *Anna Karenina* (1875–77). The opening passages of the novel describe the disintegration of the noble “house of Oblonsky”—a condition that is revealed in its full synecdochal significance as the novel explores contemporary life in the two capitals, the impoverishment of gentry estates, the conditions of agricultural labor, and the loss of ethical and epistemological absolutes. Thus, Tolstoy’s second novel, whose serialization overlapped with that of *Podrostok*, renders Dostoyevsky’s critique anachronistic. Here, the omniscient, epic tone of *War and Peace* has disappeared; events are narrated through the prism of irreconcilable character perspectives; characters find it impossible to understand each other; meaning is rendered radically private; providence is

either malevolent or altogether in doubt. Formally, the most striking symptom of disintegration is the novel’s own parallel plotting, with two protagonists following chronotopically distinct paths. The bracing narrative of happy marriage and ethical quest gravitates toward the feudal estate, while the tragic tale of adultery and death unfolds primarily in the capitals. Thus modernity itself is shown to have split off from Russia’s wholesome pre-modern past, and the novel dedicated to the exploration of this break internalizes it as a refusal to bring these two stories into a single shape.

THE END OF THE CENTURY: AWAY FROM THE NOVEL

Starting in the 1870s, the center of gravity of Russian prose starts shifting away from the monumental genre of the novel and back toward smaller narrative forms. From literary-theoretical discussions of the time one might conclude that just as contemporary Russian life appeared to be too rarefied for the novel in the 1820s and 1830s, so it seemed too dense, too dynamic in the 1870s and 1880s. Prominent practitioners of the short story began to emerge: Gleb Uspensky, Vsevolod Garshin, Anton Chekhov, and others. Meanwhile, the last two great novels of the nineteenth century, Dostoyevsky’s *Brat’ya Karamazovy* (1879–80, *The Brothers Karamazov*) and Tolstoy’s *Voskresenie* (1899, *Resurrection*) can be understood as transitional works in the history of the Russian novel. Bringing much generically “archaic” material (folk and Christian legends, biblical apocrypha, hagiographic plots and motifs) to bear on the contemporary situation, they anticipate the modernist novel’s subsumption of realist details under insistent patterns of frequently otherworldly structures of meaning (see MODERNISM).

SEE ALSO: Figurative Language and Cognition, Formalism, Gothic Novel, Intertextuality, Life Writing, National Literature.

BIBLIOGRAPHY

- Bakhtin, M.M. (1973), *Problems of Dostoyevsky's Poetics*.
 Bushmin, A., et al. (1962–64), *Istoriia russkogo romana v dvukh tomakh*.
 Eikhnenbaum, B. (1982), *Tolstoy in the Sixties*, trans. D. White.
 Eikhnenbaum, B. (1998), *Lermontov*, trans. R. Parrott and H. Weber.
 Holquist, M. (1977), *Dostoyevsky and the Novel*.
 Lotman, Yu. (1995), *Pushkin*.
 Todd, W. (1986), *Fiction and Society in the Age of Pushkin*.

Russia (20th Century)

EDITH W. CLOWES

While in the twentieth century English-language critics proclaimed the death of the novel, in twentieth-century Russian literary culture this genre enjoyed a dominant position. The novel, as defined by its most famous Russian theorist, Mikhail BAKHTIN, is a polyphonic genre characterized by the ideological and stylistic counterpoint of multiple “speaking voices,” “centrifugal” and generally freer of the clear “monological” authorial control that the three classical GENRES display. In the 1930s, even as Bakhtin was developing his theory of the novel, the Bolshevik revolution of 1917 and the eventual dictatorship of Joseph Stalin (1928–53) forced the split of the Russian novel into three sociopolitical avenues of development: the novel in exile, the highly censored officially published “Socialist Realist” novel, and, eventually, the underground novel (later known as

samizdat, “writing for the drawer” e.g., self-publishing). This arrangement continued, though eventually with some loosening, until 1986, when the last Soviet leader, Mikhail Gorbachev, announced *glasnost*, or the freedom to express one’s opinion publicly.

Beyond the political changes brought by the revolution, the twentieth-century Russian novel developed under rapidly changing social conditions. In the early twentieth century increasing literacy led to a new diversity of readership and divisions of novelistic production into the popular, the middlebrow, and the esoteric, experimental novel. After the fall of the tsarist regime and the Bolshevik revolution some traits of the esoteric novel were tolerated for another decade and thereafter existed only abroad or in the underground. In the 1930s, under High Stalinism, middlebrow and popular novels disappeared, replaced by centrally controlled mass literature.

In Russia both journal culture and the near-omnipresent CENSORSHIP led to a variety of ways of producing novels. In the Soviet era, as in the nineteenth century, editors, censors, and political leaders were often the novelist’s most important readers, and the text of the novel could and often was altered to suit their taste. Traditionally a novel first appeared serially in a journal and only then in book form, thus making the novel cheaper and more accessible to the public (see SERIALIZATION). This practice continues even today, though it is no longer the rule. In the underground, banned novels were ever more frequently typed with multiple carbon copies. Some copies were entrusted to friends for safekeeping or sent abroad for publication (*tamizdat*). Others were lent to a trusted circle for rapid overnight reading. In the post-Soviet era, which thus far has been free of censorship, novels sometimes (e.g., those of Viktor Pelevin) appear on the internet for downloading free of charge.

The stylistic history of the twentieth-century Russian novel can be divided into the following broad, overlapping periods:

(1) The modernist novel (1890–1930), also known as the Russian Renaissance or the Silver Age. Modernist novels are marked by meta-aesthetic discourse and mythopoetic experiment. Subcategories include: the DECADENT novel (based on realist descriptive and NARRATIVE TECHNIQUES); the Symbolist novel (rejecting realist technique for experiment with narrative voice, visual and musical structures, and mystical seeking); the post-Symbolist novel (playing with both realist and symbolist stylistic features). The modernist period also encompasses the middlebrow, neorealist, or expressionist novel as well as the popular serial novel.

(2) The socialist-realist novel (1923–91): a form of didactic novel epic strongly controlled by the interests of the Communist Party. This form soon bred both (underground) satire and the critical realist novel, as well as documentary fiction, both semi-official and underground (see REALISM).

(3) The post-Soviet/postmodernist novel (late 1960s to the present), until 1986 appearing in *samizdat* and *tamizdat* (see p. 723), characterized by parody, play with intertextual reference, and meta-aesthetic consciousness.

MODERNISM (1890–1930)

In the modernist period the Russian novel branched into an array of different forms, including the esoteric experimental novel (decadent, Symbolist, post-Symbolist), the first politically engaged revolutionary novel, the popular serial, and the middlebrow neo-realist novel.

Although the decadent, or first-generation symbolist, novel was based on the established realist aesthetic (precise description, socioeconomic setting, third-person narration, a world knowable to reason and

the senses), it added a meta-aesthetic consciousness of the creative process, including changing frames of human perception, effective parody of realist forms and experiment in narration, and ritualistic use of the novel world to apprehend and play out myths of cosmic and social renewal. The Symbolists were first of all poets, and that practice certainly shaped their use of language, voice, and perspective. Although quite traditional in his narrative style and imitative of the Polish novelist Henryk Sienkiewicz, Dmitry Merezhkovsky, in his popular trilogy *Khristos i Antikhris* (Christ and Antichrist)—*Smer' bogov: Yulian Ostupnik* (1896, *The Death of the Gods*), *Voskresshiye bogi: Leonardo da Vinci* (1901, *The Forerunner*), and *Antikhris: Pyotr i Aleksey* (1905, *Peter and Alexis*)—sought through voluntarist religious feeling the roots of cultural renewal in the three historical eras of late Rome, the Italian Renaissance, and early Enlightenment Russia.

Valery Briusov also wrote historical novels: *Ognennyi angel* (1908, *The Fiery Angel*), set in the German late Renaissance, and *Altar' pobedy* (1913, *The Altar of Victory*), set in ancient Rome. *Prud* (1908, *The Pond*), by Aleksei Remizov, deals with Russian merchant life, pursuing Dostoyevskian motifs of moral searching and adding lyrical techniques to convey dreams and meditations. The outstanding decadent novel *Melkii bes* (1907, *The Petty Demon*), by Fedor Sologub, undermines psychological realism in the absurdist character Peredonov, who, like Anton Chekhov's protagonist in the story "The Man in a Case," is obsessed with ambition and paranoid angst. One of several European coming-of-age novels of the early twentieth century, the novel also explores the Dionysian myth of cosmic renewal, suggesting that the novel's boy protagonist, Sasha Pylnikov, is a new incarnation of the god, who through festival and sacrifice will deliver the world

from Peredonov's mental and emotional paralysis.

The second-generation Symbolist novel features much bolder experiment with narrative voice, perspective, lyrical and musical forms, linguistic destructuring, and mystical rituals of renewal, again typically by writers better known for their poetry. Certainly the best-known novelist among the younger Symbolists is Andrei Bely, whose first three novels are all highly experimental. The first, *Serebriannyi golub'* (1910, *The Silver Dove*), explores sound symbolism and the disintegration of language, consciousness, and self in the context of sectarian rituals of rebirth. *Peterburg* (1916, *Petersburg*), one of the greatest parodies in the history of the novel, looks for cosmic rebirth in the musical, phonemic, anthroposophical play behind the matrix of narratives associated with the city of St. Petersburg. *Kotik Letaev* (1922) explores earliest consciousness and memory and their relation to language. Bely's novelistic technique and his rhythmic prose exerted a powerful influence on the post-Symbolist and later generations.

The post-Symbolist novel kept some of the experimental and mythical aspects of the Russian modernist tradition while functioning among emigrants or in the Soviet underground. *Kozlinaia pesn'* (1928, *Goat's Song*), by Konstantin Vaginov, plays on the roots of the Greek word for tragedy as a "goat song," heralding the death of Great Russian culture. Living in emigration after 1919, Vladimir Nabokov (pseud. Sirin) wrote in Russian until moving to the U.S. in 1940. Nabokov's early novels focus on aesthetic artifice. His most famous—*Zashchita Luzhina* (1930, *The Defense*), *Otchaianie* (1934, *Despair*), and *Priglasenie na kazn'* (1938, *Invitation to a Beheading*)—combine constructed parallel worlds with highly structured and stylized plots, play with consciousness and

unreliable narration, and mix paradox with brilliant verbal play. His best Russian-language novel, *Dar* (1937–38, *The Gift*), parodies the foundational Russian ideological novel, *Chto delat'?* (1863, *What Is to Be Done?*) by Nikolai Chernyshevsky. *Doktor Zhivago* (1957) by Boris Pasternak is the last echo of the Russian post-Symbolist novel. A parody of the Tolstoyan epic, it layers—over a meager skeleton of epic narrative about the revolutions of 1905 and 1917 and the ensuing civil war—other, more powerful lyrical, musical, philosophical, and mythopoetic structures.

Two important but often unnoticed aspects of the modernist era are the rapid growth of literacy and the widening gap between levels of readership and varieties of accessibility in the novel. The esoteric novel of the Symbolists and post-Symbolists was what Roland Barthes would call a writerly novel, meant for the initiated reader's active cooperation. Much more successful among the broader public were middle-brow, neorealist novels, which mimicked commonly recognizable actuality. Many of these works dealt with topical themes, from critique of the Russian military to sexual liberation. *Poedinok* (1905, *The Duel*), by Aleksandr Kuprin, is a traditionally realist short novel that became famous for its incisive critique of the Russian military just at the time of the Russian defeat in the Russo-Japanese War (1904–05). Mikhail Artsybashev's scandalously "pornographic" *Sanin* (1907), a novel in a somewhat popularized Turgenevian style, explores the free-sex movement and features a vulgarized superman protagonist. *Derevnia* (1910, *The Village*) and *Sukhodol* (1912, *Dry Valley*), by Ivan Bunin, Russia's first winner of the Nobel Prize for literature (1933), deal with the downward spiral of the Russian countryside in richly evocative prose. Bunin's *Zhizn' Arsen'eva* (1952,

The Life of Arsen'ev) is perhaps the most significant treatment of the Russian émigré experience, weaving the autobiography of a young artist.

The early twentieth century also saw the grassroots emergence of the potboiler and the truly popular novel-romance that were accessible to virtually every level of reader. The most famous of these serial novels, Anastasia Verbitskaia's *Kliuchi schast'ia* (1909–13, *The Keys to Happiness*), published in a series of six volumes, created a liberated heroine and is a virtual catalogue of political and artistic life, fashions, scandals, and celebrities of the years leading up to WWI.

After the revolution of October 1917, the new Soviet government attempted to curb the taste for real grassroots popular literature through a hybrid propaganda-popular novel; these included the Red Pinkerton novels; the series by Marietta Shaginian (pseud. Jim Dollar) combining adventure, sleuthing, and proletarian heroism; *Mess-mend, ili Ianki v Petrograde* (1924, *Mess-Mend, Yankees in Petrograd*); and Aleksey Tolstoy's immensely popular science-fiction novel and subsequent film, *Aelita* (1923), about a scientist's and a Red Army soldier's flight to Mars, the scientist's love affair with the princess Aelita, and the soldier's fomenting of a workers' revolt. The early 1920s also saw the emergence of the mass novel based on Lenin's call for "party literature," featuring the leadership of the Communist Party and the genre of the Tolstoy-inspired didactic EPIC novel. Various revolutions of 1905 and 1917, as well as the civil war (1918–21), gave ample material for such epics. Among the best were *Chapaev* (1923), by Dmitry Furmanov—whose historical hero, the commander Chapaev, became a genuinely popular hero in film and anecdote—and *Razgrom* (1927, *The Rout*), by Aleksandr Fadeev.

THE NEW ECONOMIC POLICY, 1921–28

The six years following revolution and civil war saw the novel develop relatively unencumbered by censorship. During the revolution many middlebrow writers emigrated or alternated between Russia and Europe. Many works were published both in Germany and in the Soviet Union, something that was legal only in the 1920s and then after 1986. Writers who remained in Russia but were undecided or unwilling to join the Party became what Leon Trotsky (1879–1940) and the new regime termed "fellow travelers." These writers accepted the revolution but did not typically adhere in their literary practice to the Leninist concept of party literature, which called on revolutionary art to serve the interests of the party. Some novels were highly experimental, while others retained a realist aesthetic. *Golyi god* (1922, *The Naked Year*), by Boris Pilniak (Boris Vogau), presented a collage of people and episodes in the Russian province during the civil war. Virtually plotless, it shows a Bely-inspired, highly stylized treatment of characters and moods. Like many modernist novels this one often engages in what formalists would call "baring the device," showing the artifice of novel writing, e.g., the frequent incursion of the author into the text.

Evgeny Zamyatin, a neorealist writer and teacher in the politically autonomous literary group, the Serapion Brothers, wrote the famous experimental dystopia *My (We)* in 1920–21, which could not be published in Russia until 1988. An English translation appeared in 1924 and the Russian original in New York in 1952. Written as a diary of D-503, an aeronautical engineer living in the totalitarian One State, centuries in the future, *My* builds on Dostoyevsky's parody of 1860s utilitarianism in *Zapiski iz podpol'ya* (1864, *Notes from Underground*),

and Bely's experimental constructions of the city of St. Petersburg. It parodies contemporary avant-garde utopias of the Futurists, Suprematist and Constructivist artists, and the new proletarian poets.

The last permitted experimental novel, *Zavist'* (1927, *Envy*), by Yury Olesha, enjoyed a *succès de scandale* and confounded ideological critics who could not agree on its stylistic achievements and its meaning. In essence a "Symbolist fantasy," *Zavist'* rebels absurdly against all systems of meaning (Maguire, 344). It parodies the conventions of the novel of manners, although it can also be superficially read as a black-and-white novel pitting old attitudes against the fresh, youthful views of the new order. Konstantin Fedin, a member of the Serapion Brothers, wrote *Goroda i gody* (1924, *Cities and Years*), the first large-span novel to be published in Soviet Russia, best known for its experimental treatment of narrative TIME, starting the novel with the death of the protagonist, Andrei Startsov, who proves tragically unable to take a moral stand during the civil war. *Belaia gvardiia* (1925, *The White Guard*), by Mikhail Bulgakov, was a realist novel by an author known for his fantastic satire; it gave one of the few truly sympathetic and politically daring treatments of the educated Russian—Ukrainian elite in Kiev during the civil war. This novel made a stronger impression as a play, *Dni Turbinykh* (1926, *The Days of the Turbins*), supported by Stalin himself through a long tour at the Moscow Art Theater.

In the 1920s the middlebrow novel developed particularly successfully in satirical forms. A new wave of Ukrainian writers, particularly from the Jewish community in Odessa, enjoyed popularity. Among these were the satirical PICARESQUE novels coauthored by Ilya Ilf (I. Fainzil'berg) and Yevgeni Petrov (Evgenii Kataev): *Dvenadtsat' stul'ev* (1928, *The Twelve*

Chairs), which enjoyed multiple film versions both in Russia and the U.S., and *Zolotoi telenok* (1931, *The Golden Calf*). Both feature the crafty rogue Ostap Bender and two of his get-rich schemes. Valentin Kataev satirizes the period's greed in his novel *Rastratchiki* (1926, *The Embezzlers*).

Andrei Platonov (Klimentov), by far the most innovative novelist of the 1920s, emerged from the Proletkult (Proletarian Culture) movement. His two greatest works, *Chevergur* (wr. 1929; pub. Paris 1972) and *Kotlovan* (*The Foundation Pit*, wr. 1930; pub. U.S. 1973), just missed acceptance for publication at the end of the New Economic Policy. Like many experimental novels of the 1920s they had to wait until the 1980s to appear domestically. Both novels at once participate in and satirize the utopian novel, creating more than the traditional dystopian vision. Both distort ideologically colored language and explore the link between language and consciousness.

HIGH SOCIALIST REALISM (1934–56)

During the period of Stalin the true popular novel disappeared, co-opted by the Stalinist government as the didactic mass novel, which was completely scripted and controlled by Party policy. Known also as the literature of "social command," Socialist Realism was codified as a method in 1934 at the first congress of the newly created Union of Writers. Socialist Realism featured the epic novel as the genre best suited to constructing and conveying the myth of Soviet success—the victory of the revolution, the success of Stalinist industrialization, and the promise of the coming Communist utopia. The notion that Soviet writers served as the "engineers of human souls" (Andrei Zhdanov) conveys the didactic purpose of the Socialist Realist novel. Writers were ordered to express the

“truthful, historical depiction of reality in its revolutionary development” (Terts, 402). A fixed form with required ingredients, the Socialist Realist novel features *partiinnost'*—the celebration of mass spontaneity and energy guided by the wisdom and political consciousness of Party leaders. The novel must also portray *narodnost'* (a “positive hero” who embodies the energy and character of the masses) and *ideinnost'* (ideological correctness; see IDEOLOGY).

The roots of the Socialist Realist novel lie in nineteenth-century utopianism (such as Chernyshevsky's *Chto delat'?*), Tolstoyan realism, and the revolutionary romanticism of the 1905 period. Its direct precursor is *Mat'* (1907, *Mother*), by Maksim Gorky (Aleksii Peshkov), the story of a mother's switch from a figure of suffering passivity to the icon of the revolution. The epics of the civil war era—Furmanov's *Chapaev*, *Zheleznyi potok* (1924, *The Iron Flood*), by Aleksandr Serafimovich, and *Tsement* (1925, *Cement*), by Fedor Gladkov—comprised the instant Socialist Realist canon. Among these were genuinely fine novels, e.g., the Cossack epic, *Tikhii Don* (1928–40, *Quiet Flows the Don*), purportedly by Mikhail Sholokhov, and the strongly Dostoyevskian *Vor* (1927, *The Thief*), by Leonid Leonov. Some of these novelists became the leaders of the Writers' Union and the enforcers of the Socialist Realist method.

The Socialist Realist novel of the 1930s built on the civil war experience, the production novel of collectivization and industrialization, and the HISTORICAL novel. Kataev's *Vremia, vpered!* (1932, *Time, Forward!*) represents the Socialist Realist novel of “social command,” dramatizing the building of a huge steel plant at Magnitogorsk. Shaginian's novel *Gidrotsentral* (1931, *The Hydroelectric Station*) is a well-researched production novel dealing with building a hydroelectric dam in Armenia. Blind and

ill, Nikolai Ostrovsky part-wrote and part-dictated *Kak zakalialas' stal'* (1932–34, *How the Steel Was Tempered*), an autobiographical fiction about the making of a true communist, the hero of which, Pavel Korchagin, became one of the icons of Soviet male consciousness. Aleksey Tolstoy wrote two well-received historical novels, the trilogy *Khozhdenie po mukam* (1921–42, *The Road to Calvary*), about an educated Russian family before, during, and after the revolution, and the unfinished *Petr pervyi* (1929–45, *Peter the Great*), in which Tolstoy recast modern Russian history and Russia's first modern emperor, Peter, as the prefiguration of Stalin. The tribulations of WWII fed more grist into the Socialist Realist mill. Most famous and idiosyncratic was *Vokopakh Stalingrada* (1946, *In the Trenches of Stalingrad*), by Viktor Nekrasov, which celebrated the decisive Soviet victory over the Nazis. A keen war journalist, Nekrasov delivered precise descriptions of sometimes unheroic characters and their heroic behavior and sidestepped the required Socialist Realist ingredients, *partiinnost'* and *ideinnost'*. Another readable war epic that touches upon, among other things, the normally taboo subject of the Holocaust on Soviet soil is *Buria* (1947, *The Storm*), by Ilya Erenburg.

THE “THAW PERIOD” (1953–66)

Following Stalin's death in 1953 and Nikita Khrushchev's “Secret Speech” in 1956, which called, among other things, for greater candor in art, the officially permitted possibilities for the novel opened somewhat, allowing the development of so-called “critical realism.” The first Thaw-era novel was *Ne khlebom edinym* (1957, *Not by Bread Alone*), by Vladimir Dudintsev, which dealt with conflicts between an inventor and the administration of a research institute.

Critical realism was first to cross the boundaries of the permissible. Having taken seriously the call to expose the “mistakes” of Stalinism, realist writers were soon perceived to have written much too openly on topics that compromised living leaders. Vasily Grossman’s *Zhizn’ i sud’ba* (wr. 1961, pub. U.S. 1980, *Life and Fate*), a vast epic dealing with the Soviet resistance to the Nazi invasion, featured characters discussing the similarities between Nazi and Stalinist forms of totalitarianism. Aleksandr Solzhenitsyn successfully published *Odin den’ iz zhizni Ivana Denisovicha* (1962, *One Day in the Life of Ivan Denisovich*), a short novel dealing with the survival of a simple man in the Gulag. Two of his novels, *V krughe pervom* (1968, *The First Circle*) and *Rakovyi korpus* (1968, *Cancer Ward*), were slated for publication, only to be rejected because they explored in detail the system of Stalinist police control and the prison system.

The critical realist novel, which emerged during the 1960s and 1970s, can be divided into the “urban” and “village” novel, since they re-create the experiences of various social groups, including the peasantry and the urban intelligentsia, without the falsely optimistic window-dressing typical of Stalin-era Socialist Realist writing. Among the finest is *Dom na naberezhnoi* (1976, *The House on the Embankment*), by Yury Trifonov, which deals with the children of the Stalinist elite and their privileged life. Another is *Khranitel’ drevnostei* (1964, *The Keeper of Antiquities*), by Yury Dombrovsky, the first “museum novel” to deal with the Terror of 1938–39. Structurally and stylistically the novel abandons Socialist Realist ingredients and uses a much more ambiguous variety of voices, memories, and temporal frames. Among critical realist novels, the officially permitted village novel became prominent in the Thaw period and remained so to the end of the Soviet era, in part because of fine writing, in part because

of its claims to express true Russian national identity. Prominent examples are *Brat’ya i sestry* (1958, *Brothers and Sisters*), by Fedor Abramov, and *Zhivi i pomni* (1974, *Live and Remember*), by Valentin Rasputin. Abramov’s novel is the first novel of an epic trilogy, *Priasliny* (1958–78, *The Priaslin Family*), dealing with several generations of an Old Believer clan in the far northern village of Pekashino. Rasputin’s novel makes Siberia the locus of true Russian character. Few of these novels have been translated into English, although their spare, precise prose and their narrative closeness to rural consciousness have literary merit, and their bold treatments of the destruction of the Russian peasantry through collectivization were major historical achievements of the Thaw period.

Another important facet of the critical realist novel is the emergence of significant Russophone, non-Russian ethnic voices. *Belyi parakhod* (1970, *The White Steamship*) and *I dol’ she veka dlitsia den’* (1981, *The Day Lasts More than a Hundred Years*), by the Kyrgyz writer Chingiz Aitmatov, are examples of successful novels written by a Central Asian. Aitmatov was Communist, yet openly and without repercussion alluded to the depredations of Stalinism and Soviet bureaucracy. The 1970s saw the emergence of Fazil Iskander, an Abkhazian writer, as a major novelist. Parts of his satirical trilogy, *Sandro iz Chegema* (1973, 1979, 1981, *Sandro of Chegem*), appeared in Soviet print, while others were available only in *samizdat* and *tamizdat*. The Kazakh writer Olzhas Suleimanov aroused official ire with his Turkic-nationalist novel, *Az-ia* (1975), which plays on the word “Asia” and two Russian words for “I.”

Although Socialist Realism as a method started to fade soon after Stalin’s death, censors still held control of official Soviet literary culture and enforced political and Party correctness. The subject matter and

experimental style of many of the novel genres that developed during and after the Thaw quickly expanded beyond the bounds of what censors and editors viewed as politically acceptable. Among the array of novels published in the underground and abroad were experimental, parodic, satirical, documentary, and science-fiction novels. During the Thaw these novels were often first submitted for official publication and rejected. They then found their way to publication abroad (*tamizdat*). From the early 1970s onward innovative novels were first published underground (*samizdat*) or abroad.

Novelistic experiment and true ideological “polyphony” were discouraged until *glasnost*, and the still-heavy censorship led to the development of vital *samizdat* and *tamizdat* publishing of innovative novels. The first example is Pasternak’s *Doktor Zhivago*, which was pulled after being accepted for publication in 1956 in the relatively permissive journal *Novyi mir* and published in Italy the following year. The 1960s saw the official publication of works banned through the Stalinist era, including Pasternak’s poetry from *Doktor Zhivago* and the least corrosive of Platonov’s fiction. The most intriguing novel of the Stalinist underground is Bulgakov’s *Master i Margarita* (wr. 1928–40, pub. U.S.S.R. 1967, *The Master and Margarita*), which operates on multiple narrative layers as a brilliant satire of 1920s venality, a romance, political commentary, and a meta-aesthetic novel. It contains a novel within the novel that features a typically post-Symbolist interest in religious philosophy and mythopoesy.

Another genre that emerged as a result of the Thaw period’s call to be “honest” and “sincere” was the documentary novel. Of those published in the official media, *Babii iar* (1966, *Babi Yar*), by Anatoly Kuznetsov, is certainly the most important. Based partly on interviews with witnesses and his own

autobiography, Kuznetsov tells the story of a 14-year-old boy who experienced the Nazi murder of Kiev’s Jews in the ravine known as Babi Yar. This work’s thematically bold comparisons of Stalinist and Nazi terror disappeared under the censor’s red pencil. Particularly famous is Solzhenitsyn’s trilogy, *Arkhipelag GULag* (1973–75, pub. France, *The Gulag Archipelago*), which he called “an experiment in fictional investigation.” These vast tomes investigated and documented life and death in the Soviet prison camp system.

The satirical novel, another genre that soon found a home in the literary underground and abroad, was among the first victims of the Soviet censor’s red pen. Planned for publication, *Zhizn’ i neobychnyye prikliucheniia soldata Ivana Chonkina* (1969, *The Life and Extraordinary Adventures of Private Ivan Chonkin*), by Vladimir Voinovich, appeared first abroad. Influenced by Czech writer Jaroslav Hasek’s popular anti-Austrian mock-epic, *Osudy dobrého vojáka Svejka za světové války* (1923, *The Good Soldier Schwejk*), this novel parodies the Stalinist WWII epic, making broad use of slapstick humor and puns. Voinovich’s *Moskva 2042* (1987, *Moscow 2042*) renders a “meta-utopian” parody of post-Soviet totalitarianism that satirizes a number of different views of the ideal society.

SCIENCE FICTION continued to enjoy popularity after the 1920s, when it bloomed partly under the influence of Jules Verne and H. G. Wells. The Strugatsky brothers (Arkady and Boris) were the leading representatives of Soviet science fiction during and after the Thaw period. Although their first works, e.g., *Strana bagrovyykh tuch* (1959, *The Country of the Maroon Clouds*), adhere to the strictures of Socialist Realism, they introduced fresh characters and expanded the possibilities of science to alter the world. The novel *Piknik na obochine* (1972, *Roadside Picnic*) became the basis for

the famous experimental film by Andrei Tarkovsky, *Stalker* (1987). With *Gadkie lebedi* (1972, pub. W. Germany, *Ugly Swans*) the Strugatsky brothers also crossed the boundary into novel writing that explored the ideologically unacceptable parallels between Stalinism and Nazism and challenged readers to think more critically.

THE LATE SOVIET AND POST-SOVIET NOVEL (1966–)

The late 1970s and 1980s saw a broadening array of themes openly aired under the rubric of critical realism. Historical novels on formerly taboo topics saw the light of day. *Tiazhelyi pesok* (1978, *Heavy Sand*), by children's writer Anatoly Rybakov, treated several generations of a Jewish family that suffered during the Holocaust. His novel *Deti Arbata* (1987, *The Children of the Arbat*) exposed the complicity of young people in the Stalinist repressions of the Great Terror in the late 1930s.

After the end of the Thaw younger writers parodied all claims to literary realism, let alone Socialist Realism. They pushed the novel in genuinely new directions from the edges of Soviet culture. To paraphrase the novelist Andrei Bitov the least well treated in literature—and thus offering perpetual sources for new creativity—are the worlds of the child, the drunkard, and the “inauthentic person lacking talent” (1978, *Pushkinskii dom*; *Pushkin House*, 72–73). Sasha Sokolov, who was brought up in a privileged family in the diplomatic service, wrote his “surreal” novel, *Shkola dlia durakov* (1975, pub. U.S., *A School for Fools*), from the point of view of a retarded child. Rejecting the life of an official litterateur, Venedikt Erofeev wrote a brilliant short novel, *Moskva-Petushki* (1969, excerpts pub. U.S.S.R., *Moscow to the End of the Line*), that made ingenious fun of every aspect of Soviet mass culture, told from

the point of view of an unsalvageable alcoholic. Bitov published his “museum novel,” *Pushkinskii dom*, in the U.S. Set in Leningrad, the novel treats the interface between genuine Russian culture destroyed in the Stalinist camps and the inauthentic culture of both the Stalinist 1930s and the 1950s and 1960s of the Thaw period.

Toward the final years of the neo-Stalinist government, a younger generation of writers exposed the oppressiveness of the literary power structure and rejected the strictures of Socialist Realism. In 1979 they openly published a compendium of experimental literature, entitled *Metropol'*. It was immediately confiscated and the minor contributors arrested. Two of the organizers were Bitov and Vasily Aksenov. Forced to emigrate from the Soviet Union in 1980, Aksenov wrote a number of fine novels, including the historical fantasy, *Ostrov Krym* (1984, *The Island of Crimea*), which imagines a Crimea free of Soviet rule, and *Ozhog* (1980, *The Burn*), about the jazzy, fast-paced life of the new, freer-thinking generation of 1960s Moscow. *Glasnost'*, announced in 1986, brought the first-time domestic publication of an enormous backlog of great twentieth-century Russian novels. Beyond novels well known abroad, such as *My, Kotlovani, Doktor Zhivago*, and *Rakovyi korpus*, new riches now emerged, such as Yury Dombrovsky's *Fakul'tet nenuzhnykh veshchei* (1978, *The Faculty of Superfluous Things*) and the works of Nabokov. Although for a few years contemporary novelists appeared stunned by the tidal wave, experimental trends already at work in Erofeev and others eventually regained their hold.

In this experimental turn away from all kinds of realism is what might be called the postsocialist novel, which adds a whole new dimension to the familiar postmodernist novel. This novel is characterized by literary play and PARODY, though with the material of

Stalinist culture and Socialist Realist art, rather than popular Western forms. *Vremia–noch'* (1992, *The Time–Night*), by Liudmila Petrushevskaiia, parodies the Russian matriarchal myth. Boris Akunin (Grigory Chkhartishvili) has reintroduced subgenres of the DETECTIVE novel and the thriller with a parodic twist. His novels feature a family of detectives, the forebear (E. Fandorin) serving in the late nineteenth century, for example, in *Azazel'* (1998, *The Winter Queen*), and the grandson (N. Fandorin) in the Stalin secret police of the 1930s, for example, in the generic *Shpionskii roman* (2005, *Spy Novel*).

The most popular and prolific novelist of the post-Soviet era since 1991 is Viktor Pelevin. In the 1990s he wrote three outstanding novels. *Zhizn' nasekomykh* (1993, *The Life of Insects*) draws on the premise of Czech writer Karel Čapek's *Insect Play* (1921) but with a post-Soviet, postcolonial overlay. In this world where all characters transform into insects, the main character is Sam Sucker, an exploitative American businessman who becomes a mosquito and sucks the blood of a variety of locals. Pelevin's finest novel, *Chapaev i Pustota* (1996, *Chapaev and the Void*, also trans. as *Buddha's Little Finger*), building on Ken Kesey's *One Flew over the Cuckoo's Nest* (1962), is set partly in a Moscow mental hospital in which an oppressive psychiatrist assumes that mental illness is merely a reflection of tumultuous social change. Pelevin's style may be called "neo-baroque" in that its witty intertextual trompe l'oeil masks the deep pain of the post-imperial Russian psyche. His third major novel, *Generation P* (1999), satirizes the transition from Soviet-era ideology and propaganda to the post-Soviet commercialist culture of advertising.

Probably the best example of the post-socialist, postmodernist meta-utopian novel is *Kys'* (2000, *Slynx*), by Tatiana Tolstaia. Set two hundred years after a cataclysm that

destroys Moscow, this isolated community is populated by part-human, part-animal mutants who rediscover and try to interpret the debris of Soviet civilization and culture. Another line of development in the post-Socialist Realist novel springs in part from the South American tradition of MAGICAL REALISM and the postcolonial experience. Liudmila Ulitskaia uses her novel to deconstruct the historiography of the Stalinist era. For example, her first novel, *Medea i ee deti* (1996, *Medea and Her Children*), traces the history of a clan of Greek heritage from the Black Sea area, thus replacing the debilitating "Great Family" myth of Stalinist culture with their and other minority cultures, including Jewish and Tatar.

Although the twentieth-century Russian novel survived powerful cataclysms, some forced by the nature of cultural discourse, some forced by political events, it has remained a vital form of Russian literature. The popularity of the playful, multi-layered post-Soviet novel attests to the increasing sophistication of the general Russian readership. In world literature the impact of the Russian novel has remained powerful.

SEE ALSO: Modernism, Narrative Perspective, Narrative Structure.

BIBLIOGRAPHY

- Brooks, J. (1985), *When Russia Learned to Read*.
 Brown, D. (1978), *Soviet Russian Literature since Stalin*.
 Brown, D. (1993), *Last Years of Soviet Russian Literature*.
 Clark, K. (1981), *Soviet Novel*.
 Clowes, E.W. (1988), *Revolution of Moral Consciousness*.
 Clowes, E.W. (1993), *Russian Experimental Fiction*.
 Cornwell, N., ed. (2001), *Routledge Companion to Russian Literature*.
 Dunham, V.S. (1976), *In Stalin's Time*.

- Freeborn, R. (1982), *Russian Revolutionary Novel*.
- Garrard, J.G., ed. (1983), *Russian Novel from Pushkin to Pasternak*.
- Gillespie, D.C. (1996), *Twentieth-Century Russian Novel*.
- Jones, M.V. and R.F. Miller, eds. (1998), *Cambridge Companion to the Classic Russian Novel*.
- Maguire, R. (1968), *Red Virgin Soil*.
- Parthe, K. (1992), *Russian Village Prose*.
- Peterson, N.L. (1986), *Fantasy and Utopia in the Contemporary Soviet Novel, 1976–1981*.
- Shneidman, N.N. (2004), *Russian Literature, 1995–2002*.
- Terts, A. [A. Siniavskii] (1957), *Chto takoe sotsialisticheskii realism* [1960, *On Socialist Realism*, trans. G. Dennis].
- Weiner, A. (1998), *By Authors Possessed*.
- Weir, J. (2002), *Author as Hero*.
- Russian Formalism** see Formalism; Novel Theory (20th Century)

S

Saga *see* Northern Europe

Samizdat *see* Russia (20th Century)

Satire *see* Parody/Satire

Science Fiction/Fantasy

PHILLIP E. WEGNER

Darko Suvin defines science fiction as a genre whose “necessary and sufficient conditions are the presence and interaction of estrangement and cognition, and whose main formal device is an imaginative framework alternative to the author’s empirical environment” (1979, *Metamorphoses of Science Fiction*, 7–8). Science fiction estranges or denaturalizes the world that currently exists, showing its apparently immutable foundations to be contingent and changeable. If high modernist fiction accomplishes this through formal experimentation (see **FORMALISM**, **MODERNISM**), science fiction does so through the portrayal of “other” worlds: the future, different planets, or a version of our own world into which has been introduced a *novum* or new element in the form of an event, alien, or technology. (Each of these worlds corresponds to one of Mark Rose’s four coordinates of the genre: time, space, monster, and machine; 1981, *Alien Encounters*.) However, unlike both older fantastic literatures and modern fantasy, science fiction portrays worlds bound by the scientific, historical, or “cognitive” laws of our own.

Although significant precursors are to be found in the **GOTHIC** novel, nineteenth-

century utopias and dystopias, and Jules Verne’s “*voyages extraordinaires*,” it is the great “scientific romances” of H. G. Wells—in particular *The Time Machine* (1895) and *The War of the Worlds* (1898)—that establish the genre. Wells’s work also demonstrates science fiction’s critical potential, as *The Time Machine* uses its allegorical capacity to attack Great Britain’s contemporary social inequities, while *The War of the Worlds* unveils the brutalities of European colonialism.

Thus, science fiction, as an original narrative form, is as modernist as film, the two coming together early on in Georges Méliès’s (1861–1938) pioneering *Voyage dans la lune* (1902, *A Trip to the Moon*). There is also an interesting parallel between the two forms, as both have two distinct modernist moments. The first occurs for science fiction in the early twentieth century, in the work of writers who acknowledge their debt to Wells while also expanding the **GENRE**’s possibilities. Significant figures from this first modernist efflorescence include the Russian and Soviet writers Alexander Bogdanov, Aleksey Tolstoy, Evgeny Zamyatin, and Andrei Platonov; the Czech novelist and dramatist Karel Čapek, whose play *R.U.R.* (1920) introduced the term *robot*; and the British authors E. M. Forster, Olaf Stapledon, and C. S. Lewis.

This first wave was interrupted in the late 1920s by the Soviet Union’s growing intolerance for artistic experimentation and the rise in the U.S. of popular “pulp” magazine fiction. Examples of the latter include the

“space operas” of E. E. “Doc” Smith and Philip Francis Nowlan (the creator of Buck Rogers), and the fantasy of Edgar Rice Burroughs (Tarzan and John Carter of Mars) and Robert E. Howard (Conan). These works presented tales set in intergalactic space, exotic worlds, or the imagined past, and offered their readers simplistic moral visions, with the critical estrangements of earlier modernist science fiction kept to a minimum. The heyday of pulp science fiction occurred under the editorships of Hugo Gernsback and John W. Campbell, the latter, in the 1930s, inaugurating science fiction’s “Golden Age.” Writers Campbell brought to prominence—among them Isaac Asimov, Robert Heinlein, and A. E. Van Vogt—remain some of the genre’s best known. Campbell demanded a more rigorous grounding of science fiction in contemporary scientific knowledge—and thus created the basis for the subgenre of “hard” science fiction exemplified by writers such as Arthur C. Clarke and Hal Clement in the 1950s and today by Gregory Benford and Kim Stanley Robinson—as well as a more careful exploration of the implications of their estranging hypotheses. Moreover, most of these writers expressed a deep faith in the possibilities of science, rationality, and technology, values shared by much of the genre’s early audience.

The conclusion of WWII saw the emergence of a new generation of writers—among them Alfred Bester, James Blish, Ray Bradbury, Fritz Leiber, Walter Miller, Jr., and Cordwainer Smith—whose confidence in science and technology was far less sure. Following the 1949 publication of George Orwell’s *Nineteen Eighty-Four*, the early Cold War period also witnessed the resurgence of the sociopolitical subgenre of dystopia, exemplified by Bradbury’s *Fahrenheit 451* and Frederick Pohl and C. M. Kornbluth’s *The Space Merchants* (both 1953). Meanwhile, the genre’s atten-

tion increasingly turned to the social and PSYCHOLOGICAL impact of modernity and to the development of complex character psychology, giving rise to “soft” science fiction. The single most important writer to emerge from this context was Philip K. Dick, whose rich visions of near future worlds, especially in the series of novels that begins with *Time Out of Joint* (1959) and culminates with *Ubik* (1969), would influence both the subsequent development of the genre and popular culture as a whole.

This was also the moment of the development of modern “heroic” fantasy, a subgenre that rejected science fiction’s rationalism and can be characterized by a nostalgic longing for the distant past, the binary ethical imaginaries of older ROMANCE, and the presence of “noncognitive” wish-fulfillment devices such as magic. In this way, modern fantasy participated in a larger cultural reaction to the horrors of world war. The form’s central practitioner was J. R. R. Tolkien, and his work encouraged later writers—such as Anne McCaffrey, Ursula K. Le Guin, Samuel R. Delany, and, later, Gene Wolfe, Philip Pullman, and China Miéville—to further develop the genre. Moreover, the contemporary dominance of popular fantasy is evidenced by the bestselling novelist J. K. Rowling.

The work of Bester, Dick, and these others set the stage for science fiction’s second “modernist” moment, a period often referred to as the New Wave. These works reflected the political upheavals of the time, and often offered critiques of state and corporate bureaucracies, consumerism, the Vietnam War, environmental despoilage, and GENDER and racial inequality (see RACE). New Wave writers in the U.S. would include Harlan Ellison, who also edited the landmark *Dangerous Visions* anthologies (1967, 1972); Frank Herbert, whose most celebrated novel, *Dune* (1965), placed ecological concerns centrally within the genre; Thomas Disch, author of the

acclaimed dystopias *Camp Concentration* (1968) and *334* (1972); and the prolific Robert Silverberg. Science-fictional elements also began to be more prominent in “literary” fictions by writers such as William Burroughs, Thomas Pynchon, and Kurt Vonnegut. The British magazine *New Worlds*, especially under the editorship of Michael Moorcock, showcased new works, including the experimental fictions of J. G. Ballard and Brian Aldiss. Meanwhile, John Brunner emerged as an important author of contemporary dystopian fiction. Major science fiction would again appear from the Soviet bloc, most prominently in the work of Stanislaw Lem (Poland) and Arkady and Boris Strugatsky (USSR).

Finally, this period would see an increasing diversity among the genre’s authors. Although a handful of women—including Leigh Brackett, Carol Emshwiller, Judith Merril, C. L. Moore, and James Tiptree, Jr. (Alice Sheldon)—did publish memorable fiction in the 1940s and 1950s, it would not be until the later 1960s that women writers would take up a new prominence in the genre, often explicitly thematizing gender and sexuality. Some of the best known of these writers are Margaret Atwood, Doris Lessing, Suzy McKee Charnas, McCaffrey, Vonda McIntyre, Marge Piercy, Joanna Russ, and, most significantly Le Guin, whose masterpieces include *The Left Hand of Darkness* (1969), a tale of an alien race whose sexual biology and gender identities are radically different from our own, and *The Dispossessed* (1974), a work that heralded a full-scale revival of the literary utopia. Delany was another path-breaking figure, as one of the first AFRICAN AMERICAN and, later, openly gay writers in the field (see QUEER). Delany would be followed by other major African American science-fiction authors, such as Octavia Butler, whose *Xenogenesis* trilogy (1987–89) and *Parable* novels (1993, 1998) became some of the

genre’s most discussed, and more recently by the Canadian Caribbean novelist Naola Hopkinson.

By the end of the 1970s, the energies of the New Wave had been exhausted, and the subsequent conservative counter-assault created an environment less hospitable to science-fiction experimentation and dangerous visions. A significant change in the genre was signaled by the emergence of “cyberpunk” in the early 1980s. Although Bruce Sterling took on the role of the movement’s spokesperson, it was William Gibson who emerged as its leading practitioner. Gibson’s novel *Neuromancer* (1984) rejected both the optimism of the Gernsback–Campbell era and the radicalism of the previous generation. Moreover, in its celebration of new information technologies, its suspicion of Fordist welfare state policies, and its poaching from and pastiche of different genres, including *noir* fiction, cyberpunk was seen as exemplary of postmodern sensibilities. Other prominent writers associated with the movement include Pat Cadigan, Rudy Rucker, and Neal Stephenson.

Many of the science-fiction writers who rose to prominence in the late 1980s and 1990s—including Iain M. Banks, Terry Bisson, Butler, Orson Scott Card, Hopkinson, Gwyneth Jones, Ken MacLeod, Miéville, Robinson, Stephenson, and Sheri Tepper—signal a further eclecticism in the genre as they draw upon the resources of hard science fiction, utopias and dystopias, cyberpunk, and heroic fantasy. There has also been a resurgence among these writers of the critical political energies that were in abeyance in the heyday of postmodern cyberpunk, signaling another turn in the genre’s rich history.

SEE ALSO: Adaptation/Appropriation, Definitions of the Novel, Graphic Novel, Mythology, Time.

BIBLIOGRAPHY

- Aldiss, B. (1986), *Trillion Year Spree*.
 Attebery, B. (1992), *Strategies of Fantasy*.
 Barr, M. (1993), *Lost in Space*.
 Broderick, D. (1995), *Reading by Starlight*.
 Clute, J. and J. Grant, eds. (1999), *Encyclopedia of Fantasy*.
 Clute, J. and P. Nicholls, eds. (1995), *Encyclopedia of Science Fiction*.
 Freedman, C. (2000), *Critical Theory and Science Fiction*.
 Jameson, F. (2005), *Archaeologies of the Future*.
 Moylan, T. (2001), *Scraps of the Untainted Sky*.
 Seed, D. (2000), "Considering the Sense of 'Fantasy' or 'Fantastic Fiction,'" *Extrapolation* 43(3): 209–47.
 Seed, D., ed. (2005), *Companion to Science Fiction*.
 Wegner, P. (2002), *Imaginary Communities*.
 Yaszek, L. (2008), *Galactic Suburbia*.

Self-Reflexivity *see* Narration

Sensation Novel *see* British Isles (19th Century); Melodrama

Sentimental Novel *see* British Isles (18th Century); Domestic Novel

Serialization

PATRICIA OKKER AND NANCY WEST

For many, the idea of a "novel" conjures up associations with an individual book, an individual reader, an individual pleasure. Neatly contained within its bindings, the novel affords a book lover both private and personal pleasures. She can carry an entire novel wherever she goes, and the very neatness of its containment ensures that she decides when to take a break or when to read voraciously through the night, perhaps with a flashlight in hand to avoid detection.

While this link between novel and book can seem immutable, millions of readers, especially in the nineteenth century, have enjoyed consuming their fiction through serialized installments apportioned over

weeks, months, and sometimes years. Novels were issued in parts or numbers, each wrapped separately for distribution and purchase, or in monthly, weekly, or daily periodicals. Regardless of which type, part-issue or periodical publication, the serialized novel requires a prolonged reading experience, which brings different delights than the bound novel. A commentator in *Harper's New Monthly Magazine* (Dec. 1855) compared the serial reader to a gourmand slowly digesting a multi-course meal: "Readers who complain of serials have not learned the first wish of an epicure—a long, long throat. It is the serial which lengthens the throat so that the feast lasts a year or two years. You taste it all the way down" (128).

Although a global history remains to be written, serialized fiction has long been an international phenomenon, exhibiting striking similarities across nations. The rise of the serial novel corresponded with specific technological developments, the advent of a consumer culture, urbanization, increased literacy rates, and increased leisure. The basic narrative of the genre's evolution remains constant whether one considers Japanese newspapers during the 1800s, British periodicals in the 1840s and 1850s, or Shanghai magazines during the early 1900s. Publishers experimented with serialization to reduce initial expenses and disperse the prohibitive cost of books to consumers over time. As reading became measured by the clock and calendar of the workweek, the serial novel provided an ideal way to spend leisure time.

Given its extraordinary popularity, range, and longevity, serialization has generated a rich body of scholarship, especially within the field of British literature. Early criticism was largely devoted to recovering the history of serial publication by major authors such as Charles Dickens and William Makepeace Thackeray. By the late 1980s, critics began turning their attention to social and cultural

issues, with an increasing emphasis on both theoretical concerns and the community of readers created by serialization. Some scholars, such as Jennifer Hayward, have addressed the commercial strategies of serialization. Richard Hagedorn, Linda K. Hughes and Michael Lund, and Laurie Langbauer have taken a more philosophical and theoretical look at serialization, examining its relation to capitalism, nineteenth-century conceptions of time, and the meaning of the “ordinary.” Recent critics have devoted considerable effort toward uncovering the less prominent authors and more marginalized audiences of serial novels. Other critics are now looking at serialization within the context of specific magazines. This latter group of scholars—Susan Belasco Smith, Deborah Wynne, and Patricia Okker, among others—draw attention to the materiality of the periodicals in which the novels appeared and highlight the juxtaposition of serial installments with magazine features, including cartoons and advertisements. Yet, despite this breadth of scholarship, much work on the serial novel remains to be done.

SERIALIZATION IN ENGLAND AND THE U.S.: BEGINNINGS THROUGH THE 1870s

Often associated with the nineteenth century, serialization originated much earlier. In England, books of all sorts (including the Bible, John Milton’s *Paradise Lost*, and *A Compleat History of Executions*) were serialized as early as the seventeenth century. Initial attempts at serializing fiction in separate parts or in periodicals emphasized short texts and/or reprinted texts. Samuel Johnson’s slender novel *Rasselas*, for example, was reissued in various forms in four separate magazines—the *Edinburgh Magazine and Literary Miscellany*, the *Grand Magazine of Universal Intelligence*,

the *London Magazine*, and the *Universal Magazine of Knowledge and Pleasure*—during 1759. Serializing original long fiction emerged with Tobias Smollett’s *The Life and Adventures of Sir Launcelot Greaves* in the illustrated *British Magazine* between 1760 and 1761 and then in the U.S. with Jeremy Belknap’s *The Foresters* in the *Columbian Magazine* between 1787 and 1788.

Despite these occasional examples, however, the serial novel did not begin to flourish until the mid-nineteenth century. Dickens’s *The Posthumous Papers of the Pickwick Club* (published in twenty monthly parts, 1836–37) and Eugène Sue’s *Les Mystères de Paris* (*The Mysteries of Paris*, published serially in *Journal des débats*, 1842–43) are credited with galvanizing the spread of serialization in the 1840s and 1850s in the U.S. and Europe. The French *roman feuilleton*, or serial story, inspired this international phenomenon, its influence still apparent in the Swedish term for serial, *följetonger*. Serialization’s tremendous popularity in America forced more than one commentator to recant earlier defamations of the genre. A *Ladies’ Magazine* editor who proclaimed in 1828 that there was not “so dull a phrase in the English language, as . . . ‘to be continued’” was serializing novels by the 1840s (Jan. 1828, 45). A decade later, serial novels like Harriet Beecher Stowe’s *Uncle Tom’s Cabin* (serialized 1851–52) became national bestsellers. Most fiction appeared in newspapers or magazines, although Dickens is a good reminder that independent monthly publications remained an option from the 1840s through the 1870s, especially in England. But the serial novel made its most significant advance in periodicals, including elite literary monthlies, middle-class family papers, and inexpensive weeklies for working-class readers that sometimes boasted circulations as high as a quarter-million. Because of this range of periodicals, the serial novel extended to readers of virtually every social class.

Early scholarship on serialization focused on its deployment by writers, many of whom were quite attentive to installment structure during the composition process. Anthony Trollope crafted parts of the same length, and Dickens specialized in cliffhanger endings that almost always corresponded with an installment break. Authors who favored the popular double- and sometimes triple-plot novel could extend readers' suspense by alternating between plots. Extended digressions from the protagonists sometimes prompted authorial apologies. After shifting the plot of *The Hidden Hand* (serialized 1859) away from the heroine Capitola for two straight weeks, E.D.E.N. Southworth commiserated with readers: "How glad I am to get back to my little Cap; for I know very well, reader, just as well as if you had told me, that you have been grumbling for two weeks for the want of Cap. But I could not help it, for, to tell the truth, I was pining after her myself" (chap. 60). Other writers fashioned installments as accompaniments to upcoming news articles and features. Readers of *All the Year Round* would have noticed a close correspondence between developments in Wilkie Collins's *The Woman in White* (serialized 1859–60) and the journal's coverage of various murder cases.

Scholars have demonstrated that the form of the installment as well as its content was not always an authorial choice. Editors frequently dictated a serial novel's appearance in a magazine or newspaper. Some editors favored the kind of craftsmanship Trollope developed, but others inserted breaks in the middle of chapters, paragraphs, sentences, and even words. In these cases, the installment unit had nothing to do with the writer's intentions; it was a matter of available columns. Other problems faced novelists publishing in periodicals. Writing in parts, especially for weekly magazines, also subjected an author to intense pressure to

meet deadlines or even to an editor's presumptuous rewriting. Much to her frustration, Elizabeth Gaskell complied with Dickens's wholesale revisions to *North and South* (1854–55) when the novel was serialized in his *Household Words*.

Yet whatever assaults were waged on artistic integrity, the serial novel attracted many a literary luminary, including Mark Twain, William Dean Howells, Thackeray, Dickens, George Eliot, Gustave Flaubert, Leo Tolstoy, Fyodor Dostoyevsky, Stowe, Collins, Henry James, and Thomas Hardy. Many of these novels became sensations, as in the legendary case of Dickens's *The Old Curiosity Shop* (serialized 1840–41). So gripped were its readers that when the heroine fell sick, in the penultimate installment, thousands of fans dashed off letters to the novelist and implored him not to let Little Nell die. Upon learning that Dickens had killed her off, many were thunderstruck. Even Thomas Carlyle, who made a point of pooh-pooing Dickens's sentimentalism whenever he could, admitted to being overcome with grief at Little Nell's demise. Legend also has it that one famous Parliamentarian, having read the last chapter on the train, burst into tears and threw the book out the window, exclaiming, "He should not have killed her!" (E. Johnson, 1952, *Charles Dickens*, 1:303–4).

THE SERIAL READER

The audience's often intense engagement with serialized fiction has prompted scholars to consider the ways that readers serve as collaborators in serialization. Countless tales exist of authors changing course based on audience responses and actual sales. Dickens penned additional scenes for the inimitable Mrs. Gamp, in *Martin Chuzzlewit* (serialized 1843–44), when she proved a favorite among readers. Trollope

exterminated a character in *The Last Chronicle of Barsetshire* (1866–67) because of a conversation overheard at the Athenaeum Club. Lamenting Trollope's penchant for recycling characters, two male readers expressed their worry that Mrs. Proudie, with whom they had "fallen afoul," would return in another book. Finding the conversation unbearable, Trollope walked up to the two men, introduced himself as the "culprit," and promised to "go home and kill her before the week is over" (*Autobiography*, chap. 15). And so he did. When enthusiasm and promising sales greeted Yusheng Sun's Chinese novel *Haishang fanhua meng* (1898–1903, *Dreams of Shanghai Splendor*), he expanded his initial plan for thirty chapters to sixty, and still later to a whopping one hundred (A. Des Forges, 2003, "Building Shanghai, One Page at a Time," *Journal of Asian Studies* 62: 783, 802).

Capturing the experience of these readers remains an elusive goal, but scholars have successfully characterized the readership of serial fiction. Some have documented the fact that serial reading was not limited to women, as many early critics of the form assumed. Critics working on British serials have likewise determined the changing demographics and practices of serial readers. In the 1840s and 1850s, middle-class readers tended to borrow books from circulating LIBRARIES or to buy them in monthly parts. Working-class readers, on the other hand, consumed novels in cheap magazines. Changes in newspaper and paper tax laws in 1859 and 1860 led to the creation of family magazines that appealed to the middle class, such as *All the Year Round*, *Macmillan's Magazine*, and *Cornhill*. For other periodicals, more detailed analysis of their readers is needed. Indeed, the demographics of serial readers varied considerably across different periodicals, based on class, gender, region, race and ethnicity, religion, and even profession.

The serial reader tended to imagine the novelist as far less remote than writers today are thought to be. In "A Box of Novels," Thackeray observed that installment publishing fostered a "communion between the writer and the public . . . something continual, confidential, something like personal affection" (*Fraser's Magazine*, Feb. 1844, 167). When the American novelist Ann Stephens embarked on a European trip, her "state-room was filled with bouquets . . . some from individuals to whom she was known only by her writings" (*Peterson's Magazine*, June 1850, 270). For many Victorians, the serial novel was woven into the ordinary and extraordinary moments of life. A single woman beginning Dickens's *Bleak House* in March 1852 might have been watching her first baby crawl by the time she finished the last number in August 1853. Serialized novels helped readers assuage loneliness, depression, even physical suffering. For example, the editor of *Macmillan's Magazine* recounts the apocryphal story of an old woman who, suffering from a fatal illness, "took much delight" in reading Collins's *No Name* (serialized 1862–63) during her final days. Though she was "content enough to die when the appointed time came," she whispered on her deathbed, "I am afraid, after all, I shall die without ever knowing what becomes of Magdalen Vanstone" (Dec. 1865, 156). Interweaving one's personal life with the serial's plot took place on the other side of the divide as well. At the beginning of chap. 10 of *Palaces and Prisons*, Stephens announced to her readers that "between this chapter and the last" her brother had died. She continued her narrative, explaining that, "like his young life," her work "must not be broken off in the middle" (*Peterson's*, Oct. 1849).

In addition to reinforcing the bond between reader and author, serial fiction encouraged a sense of community among readers. Unlike readers of bound novels,

who proceed at different paces, readers of serial fiction must experience the narrative together, reading installments and anticipating subsequent ones as a group. The common practice of reading installments aloud among family or neighbors also bolstered the sense of reading within a community (see *READING*). Howells, for instance, recalled reading *Uncle Tom's Cabin* "as it came out week after week," and remarked, "I broke my heart over *Uncle Tom's Cabin*, as every one else did" (*My Literary Passions*, chap. 11).

Initial scholarship on serialization focused on literary lions such as Dickens and elite venues like *Harper's Monthly*, but the form was widespread and varied. Lesser-known novelists, such as Scottish writer David Pae and American author Southworth, dominated the field. Some authors produced more than fifty novels. Serial novels appeared in every conceivable kind of periodical: general newspapers, illustrated weeklies, women's magazines, political papers, children's periodicals, and of course literary journals. The "story papers" in America consisted almost entirely of serialized fiction and sometimes included as many as eight different serials at a time. Even more astonishing are the so-called mammoth papers, like *Brother Jonathan* and the *New World*, which offered Americans original and pirated serials in a cheap, gargantuan format, with pages upward of four feet long.

Because one could launch a periodical with relatively few resources in comparison to starting a book-publishing firm, serialization was crucial in the African American press. Martin R. Delany's *Blake: Or, the Huts of America* debuted in the *Anglo-African Magazine* in 1859, though was not completed. It was reissued to completion in the *Weekly Anglo-African* in 1861–62. Written for African American readers and published in African American-owned periodicals,

Delany's *Blake* opposed slavery vociferously, making it one of the most radical novels of its day. While white abolitionists like Stowe preferred childlike African American characters, Delany's protagonist leads an insurrection and is willing to kill those who oppose his missions. The fact that Delany's novel was not published in book form until 1970 is hardly accidental; indeed, were it not for the African American press it is hard to imagine that *Blake* would ever have been published.

1880s AND 1890s

Near the end of the century, serialization began to change, owing to the rise of newspaper syndicates in the U.S. and U.K., and in some circumstances to wane. Some magazines began to include entire novels in single issues. Others, like *Munsey's* in the U.S., pronounced the short story, not the serial novel, the "one form of literary work of which the public never has enough" (July 1893, 466). The same was true in England. In the 1880s and 1890s, new magazines like *The Strand* and *Tit-Bits* boasted of "short fiction, easily read on train or omnibus" (*Strand*, July 1891, 1). One explanation for this shift was that serialized novels became more difficult to publish when mass-market periodicals, like *Ladies' Home Journal*, began to flood the magazine industry and eclipse publications with smaller circulation rates but steadier readerships, like the *Atlantic Monthly*. The form that had attracted readers only decades before was now a liability. Editors could no longer be sure that audiences were reading their periodicals month by month. Some magazines navigated this new terrain by offering a creative hybrid of sorts. *The Strand* was lucky enough to get Arthur Conan Doyle, who, through his Sherlock Holmes stories, realigned serialization with the short story. In his

autobiography, Doyle explained how he came upon the idea: “Considering these various journals with their disconnected stories, it had struck me that a single character running through a series . . . would bind that reader to that particular magazine” (1924, *Memories and Adventures*, 95). His hunch was a prophesy. After the first Sherlock Holmes story, “A Scandal in Bohemia,” appeared in the July 1891 issue of *The Strand*, circulation skyrocketed. When Doyle had the audacity to kill his detective two years later, many readers, some wearing black armbands, refused to read the magazine—until Holmes made his miraculous return in 1901.

1900–1970

The advent of mass-market publications cannot fully explain the serial novel’s decline in the early twentieth century. The form helped insure the success of the German periodical *Berliner Illustrirte Zeitung*, which boasted a readership of close to two million in the late 1920s and whose circulation increased by 200,000 because of a single novel, *Stud. Chem.: Helene Willfüer*, by bestselling author Vicki Baum (serialized 1928–29; L. J. King, 1988, *Best-Sellers By Design*, 12). Possible explanations for the decline of the serial novel in the U.K. and U.S. include competition from other media, like motion pictures (invented in the mid-1890s), and innovations in the novel itself. Rather than sprawling and social, early twentieth-century novels tended to be telescoped and introspective. Violent and sexual content was judged unsuitable for magazines designed mainly for family reading. Some writers, like James, found that the pursuit of psychological subtlety in their fiction made it less marketable. In 1900 the business manager of the *Atlantic*, which had serialized several of James’s stories, begged

Perry Bliss, the editor, “with actual tears in his eyes, not to print another ‘sinker’ by James lest the *Atlantic* be thought a ‘high-brow’ periodical” (P. Bliss, 1935, *And Gladly Teach*, 178). The poet Evan Shipman declared serialization to be “an unnatural kind of publication for anyone with an idea of form” (L. J. Leff, *Hemingway and His Conspirators*, 90). Many modern novelists bristled at the idea of catering to what they perceived as the crass commercialism of the magazine industry.

A fascinating example of the apparent incompatibility between serialization and the modernist novel (see MODERNISM) is the magazine publication of Ernest Hemingway’s *A Farewell to Arms* in 1929. By all accounts, Hemingway was ambivalent about serialization. He knew that it would give him greater visibility, but he feared that it might compromise his status as a writer and siphon off dollars from cloth-bound sales. This latter concern was less pronounced in the nineteenth century, since the extravagant cost of bound volumes made serialization the best means of attracting a wide audience. Because *Scribner’s* was known for its “intelligent readers” and subdued use of advertising (all advertisements appeared in the back pages), Hemingway agreed to serialize the novel. He reasoned that even if his artistic integrity suffered, passages of his book would at least not jostle alongside Kotex advertisements (Leff, chap. 3). Unbeknownst to him, *Scribner’s* editor censored the first installment (see CENSORSHIP). Hemingway persuaded him to use a gentler hand on the second installment, but as soon as it reached newsstands in June, the Boston superintendent of police, horrified by such words as “balls” and “cocksucker,” banned *Scribner’s* that month. And yet, despite these seeming incongruities between modernist fiction and serialization, the list of major novels first appearing

in serial form is quite long. Joseph Conrad's *Heart of Darkness* and *Lord Jim* appeared in *Blackwood's* (1899, 1899–1900); Edith Wharton's *The House of Mirth* (1904–1905) and F. Scott Fitzgerald's *Tender Is the Night* (1934) both appeared in *Scribner's*; and most surprising of all, James Joyce's *Ulysses* was published in the *Little Review* (1918–20). This list tells us that serialization did not die in the early twentieth century, but it was no longer the polestar of years past. Once the best insurance for gaining a wide readership, serialization now became a supplement to book sales. Given the much shorter length of modernist novels, serial runs spanned a few months instead of years. Authors like Dickens once valued the opportunity serialization gave them to amend their novels to better please their audiences, but writers like Hemingway objected to such give-and-take, preferring a more detached relationship with the reader.

While serialization held lukewarm appeal for the twentieth century's most "literary" wordsmiths, it remained a mainstay for popular novelists. Romances and adventure novels appeared in the *Saturday Evening Post*, and crime novelists, including the influential Dashiell Hammett, published in pulp magazines like *Black Mask* and *Dime Detective*. Pitched at working-class male readers, who were among the publishing industry's most elusive audience, pulp magazines capitalized on crime fiction's use of suspense to sustain their readers' attention over a long serial run (see DETECTIVE). During the 1920s and 1930s, popular novelists serialized their work in tabloid papers whose literary quality was astonishingly good, like the *New York Daily News* and the *New York Daily Mirror*. These tabloids relied heavily on serial fiction. Editors commissioned guest authors to write novellas of criminal cases that the papers were currently covering. Thus Russell J. Birdwell's *Ruth Snyder's Tragedy: The Greatest True Story*

Ever Written was published weekly in the *Daily Mirror* between April and September 1927 as Snyder and her corset-salesman lover were being tried for the murder of her husband. (They both got the electric chair.)

Meanwhile the serial novel was flourishing in periodicals for the U.S.'s many immigrant populations. Serialization had been an essential part of the German, French, and Spanish press in the U.S. throughout the 1800s, but in the early twentieth century the range of languages and circulation broadened. During this period Swedish American periodicals published close to seventy serials each week, reaching nearly half a million readers. Because of the diasporic nature of immigrant populations, high circulations were possible even when the papers were published in small towns. A Norwegian-language newspaper from Decorah, Iowa, which featured a popular trilogy between 1919 and 1922, reached an estimated forty-five thousand readers by 1925, even though the town's population was only four thousand (see J. B. Wist, 2005, *Rise of Jonas Olsen*, trans. Øverland). And while Scandinavian periodicals declined in the later half of the twentieth century, during the 1960s the popularity of serial fiction in Jewish, Chinese, and other immigrant communities rivaled that of its nineteenth-century counterpart.

THE POST-1970 ERA

Since the 1970s, the serial novel has undergone a revival. Relaxed restrictions on newspaper and magazine content inspired writers to offer frank, fictionalized treatments of contemporary social problems, as Armistead Maupin did with *Tales of the City*, first serialized in the *San Francisco Chronicle* before moving to the *San Francisco Examiner* between the mid-1970s and the late 1980s. Inspired by Honoré de Balzac

and Dickens, Maupin used San Francisco as a backdrop to explore a wide range of current events and social problems, including homophobia and drug addiction. The *Tales* were adapted for television and serialized in 1993, 1998, and 2001 (see ADAPTATION). Another celebrated example is Tom Wolfe's version of *Bonfire of the Vanities* for *Rolling Stone* (serialized 1984–85). Multiple plotlines, diverse characters, and a harsh look at New York's class divide made the novel ideal for serialization. Wolfe later admitted that its original publication in *Rolling Stone* provided him with the opportunity to write "a first draft in public. I have a feeling I never would have written *Bonfire* without it" (K. Pryor, 1990, "Serials: Making a Comeback," *Entertainment Weekly*, 16 Mar.). In the mid-1990s, *New York Newsday* hired crime novelist and reporter Soledad Santiago to write a serialized novel in order to increase the newspaper's Latino readership. The result was a sixty-four-part serial entitled *Streets of Fire* (1994), which explored the life of a Puerto Rican female cop in New York. Readers, especially women, loved the novel, and the newspaper had to create a special telephone line to handle inquiries and provide recorded plot summaries of past issues.

Within the past few years, more and more writers and editors have experimented with the serial novel. Professional and amateur novelists alike are serializing novels online via email lists. At the same time, some newspapers have turned to installment fiction as a way of boosting circulation. One editor remarked, "Many newspapers have become . . . almost staccato in their effect, with more news items and shorter stories. I think people quite like something more substantial to get their teeth into" (S. Ohler, 2006, "The Life and Times of the Serial Novel," *Edmonton Journal*, 8 Sept.). Between Dec. 2008 and Feb. 2009 the *Daily Telegraph* published installments of Alexander McCall Smith's

Corduroy Mansions daily, providing free email delivery in both its written form and as audio chapters. In one of the most fascinating of these experiments, the *Los Angeles Times* published *Money Walks* over the course of twenty-eight days in Apr. 2009, with each installment written by a different author. This experiment echoes an earlier one, when in 1907–8, *Harper's Bazaar* published *The Whole Family* in twelve monthly installments, written collaboratively by twelve authors, including Howells, James, and Mary Wilkins Freeman. Readers were invited to guess the authorship of the individual chapters.

The history of serialization, including its downsides and permutations, tells us that the serial novel has tremendous resilience. While many reasons account for its indefatigability, perhaps the most important is that serialization allows for social binding; serial readers—despite whatever geographical and cultural differences separate them—are encouraged to feel that they are part of a community. As experiments in serialization keep evolving via television, the internet, and new media, serialization retains its power to create readerly communities even in a culture where the act of sustained reading, of devoting oneself to a single piece of literature and staying with it until the end, is becoming more and more of a rarity.

One place where we can still see serialization's power to create communities is in the BBC's production of classic Victorian serials in televised installments. When an adaptation of Dickens's *Bleak House* aired in the U.K. over Oct. and Nov. 2005, nearly five million television viewers, or 27 percent of the available TV audience, tuned in every Thursday and Friday night. According to Amazon.UK, sales of Dickens's *Bleak House* went up by 290 percent that October. When the show aired over a five-week period in the U.S. a few months later, audiences were equally rapturous. Stephanie Zacharek, a

critic for *Salon*, commented: “For these next four Sundays, I’ll be turning the pages, figuratively speaking, with many other viewers, and on Feb. 26, I’ll close the cover at last. And then, instead of feeling confident that I already know the story backward and forward, I anticipate reading the novel for real—alone, as we always are with a book, and yet not alone at all” (2006, “Refuge in *Bleak House*,” *Salon.com*, 4 Feb.). With a notable air of gratitude and wistfulness, Zacharek describes how the BBC series, an abbreviated approximation of the Victorian serialized novel, has reawakened in her the desire for a prolonged, absorbing interest in a story. The serialized novel may thus not be what it once was in 1852–53, when Dickens’s *Bleak House* was first released to audiences in installments. But in this instance, as in others, we can see how the *dream* of it, if not always the actuality, still survives.

SEE ALSO: Illustrated Novel, Reprints.

BIBLIOGRAPHY

- Brake, L. (2001), *Print in Transition, 1850–1910*.
- Brantlinger, P. (1998), *Reading Lesson*.
- Denning, M. (1987), *Mechanic Accents*.
- Feltes, N.N. (1986), *Modes of Production of Victorian Novels*.
- Hagedorn, R. (1988), “Technology and Economic Exploitation,” *Wide Angle* 10(4):4–12.
- Hayward, J. (1997), *Consuming Pleasures*.
- Hughes, L.K. and M. Lund (1991), *Victorian Serial*.
- James, L. (1963), *Fiction for the Working Man, 1830–1850*.
- Johanningsmeier, C. (1997), *Fiction and the American Literary Marketplace*.
- Langbauer, L. (1999), *Novels of Everyday Life*.
- Law, G. (2000), *Serializing Fiction in the Victorian Press*.
- Lund, M. (1993), *America’s Continuing Story*.
- Martin, C.A. (1994), *George Eliot’s Serial Fiction*.
- Mayo, R.D. (1962), *English Novel in the Magazines, 1740–1815*.
- Okker, P. (2003), *Social Stories*.
- Payne, D. (2005), *Reenchantment of Nineteenth-Century Fiction*.
- Price, K.M. and S.B. Smith (1995), *Periodical Literature in Nineteenth-Century America*.
- Queffélec, L. (1989), *Le Roman-feuilleton français au XIXe siècle*.
- Wiles, R.M. (1957), *Serial Publication in England before 1750*.
- Wynne, D. (2001), *Sensation Novel and the Victorian Family Magazine*.

Sexuality

DALE M. BAUER

Sexuality in novels can refer either to the history of sex (as action or being) appearing in novels or, as literary narratology has proposed, a style of sexuality displayed in novels. Characters either are sexual or act sexually, but one can also argue that plots are charged with sexuality. The difficulty in tracing sexuality in novels depends on whether one considers “sexuality” as a history (the amount of sexuality in novels) or as a theory (the possibilities of sexuality as a political praxis, of repression, or of liberation). For some theorists, sexuality is more of a discipline than a form of liberation. For others, literary sex marks a moment of confusion of normative behavior more than a reaction or rebellion (see Dollimore). Often, sexual battles are played out in novels, such as in the domain of Henry James’s *The Portrait of a Lady* (1881), where Isabel Archer debates with herself about conventional marriage and liberal affect.

Michel Foucault inspired an examination of the modes by which novels would produce a new kind of sexual norm. His *History of Sexuality* included analyses of how sexuality became a source of biopower, and he offered a rejection of the “repressive hypothesis,” which contended that humans had repressed their sexual desires in favor of knowledge and power. He argued, rather,

that the nineteenth century introduced a new hegemony of sexuality, including one that named the self as a kind of sexual being. Foucault called “bodies and pleasures” as representative of genderless moments of resistance from the reigning power of sex-desire. This claim for the counter-discursive function of resistant pleasures may allow particular queer sexual acts to be considered oppositional practices (see Berlant and Warner). PSYCHOANALYSIS, too, influenced a literary theory that analyzed what Sigmund Freud and Jacques Lacan (among others) suggested was the symbolic nature of sexuality (see PSYCHOANALYTIC).

Histories of sexuality in novels were originally published as topical histories, like Tony Tanner’s monumental study of adultery. Following Tanner, many critics charted sexual pleasure as a subversion of patriarchy or capitalism. With the rise of FEMINIST theory and QUEER studies, theorists saw the novel as a great democratic form that opened up questions about sexuality. For example, D. A. Miller and Eve Sedgwick argued that novels represent homosexuality through various modes as “between men,” a theory of the novel about male homosocial relations that begins to mark the territory of erotic homosexuality. Most recently, the social critic Bruce Burgett has argued that in the nineteenth century the creation of categories such as “heterosexual” and “homosexual”—along with “Sapphist,” “sexual invert,” “intermediate sex,” and “homogenic”—urged writers to use the terms as part of a policing of pleasure. In this light, some novels were infused with “sexology”: a judgment about the “normalcy” of sexual relations and powers. As Burgett writes, “Here and elsewhere, the pressing historical question is not how ‘sex’ and ‘race’ have intersected in various historical conjunctures, but how, to what ends, and in what contexts we have come to think of the ‘two’ as separable in the first place”

(2005, 94). Arguments such as Burgett’s have led to the examination of the confluence of these categories—along with CLASS and ethnicity (see Berlant; Haag; Horowitz).

Other critics of sexuality in the novel include Judith Roof, who argues that lesbianism was figured in “coming-out narratives” as conservative modes of queer visibility that actually reinforced the heteronormative mode of the novel. Another major critic of sexuality, Joseph Boone, incisively details how male sexualities informed narratives. Since the late 1990s, the advances of feminist and queer theory have opened up topics such as bisexuality and queer erotics, as well as public sex.

HISTORIES OF SEXUALITY IN THE NOVEL

Some of the earliest novels about sexuality concerned the use of personal desire as pleasure. “Fallen woman” fiction—like Susanna Rowson’s *Charlotte Temple* (1791) and Hannah Webster Foster’s *The Coquette* (1797)—included women who acted upon their sexuality only to be cast as fallen creatures who must be spiritually saved or literally killed as lessons about female desire. In Stephen Crane’s *Maggie: A Girl of the Streets* (1893), Maggie dies by the end of this narrative, either having taken her own life or been killed by some attacker. In any case, Crane is careful not to take sides against Maggie, since his naturalistic tone suggests that the environment in which she lives and works may be responsible for her choices and her drift toward prostitution (see NATURALISM). By the 1920s, more and more middle-class novels, like Viña Delmar’s *Bad Girl* (1928), would position female sexuality as blasé, addressing premarital sex as a way to domestic—and marital—bliss.

The representation of male sexuality in eighteenth-century novels might be said to

start with Daniel Defoe's *Robinson Crusoe* (1719–22), in which *homo economicus* curbs his appetites in order to structure his own material world. Samuel Richardson's *Loveless in Clarissa* (1747–48) represents the rake as a figure of pure appetite. Henry Fielding's *Tom Jones* (1749) gives us a happier medium of male sexuality in the service of conviviality and honor.

In American fiction, Charles Brockden Brown made an early contribution to the discussion of men's and women's equality with his *Alcuin: A Dialogue* (1798). James Fenimore Cooper's *Leatherstocking Tales* (1823–41) document Natty Bumppo's asceticism and his polite, even diffident, relations to women. More appetitive males appear in the Southwestern tradition as witnessed in the works of William Gilmore Simms and Robert Montgomery Bird. Nathaniel Hawthorne follows the divided male self in configuring pairs like Chillingworth and Dimmesdale in *The Scarlet Letter* (1850) or Hollingsworth and Coverdale in *The Blithedale Romance* (1852). Even Holgrave in Hawthorne's *The House of the Seven Gables* (1851) has a dual sexual identity that needs to be resolved before he takes his place in the heterosexual concluding fantasy. Herman Melville's men often follow the twists of this mainstream divided logic. That division was famously codified in Leslie Fiedler's study of homoeroticism in the American novel in which he argued that pairings such as Bumppo and Chingachgook, Ishmael and Queequeg, and Huck and Jim reveal a dominant pattern in American culture where white males identify their erotics in their close relations with men of color (see Chap. 94 of *Moby-Dick*). In REALISM, we begin to see U.S. authors presenting men in their masculine fullness in Bartley Hubbard (William Dean Howells, 1885, *The Rise of Silas Lapham*) and Basil Ransom (Henry James, 1886, *The Bostonians*).

One could trace such a debate about gender roles even further back to Jane Austen's sentimental fictions. *Pride and Prejudice* (1813) argues that CLASS-based marriage and sexuality controlled by the "invisible hand" of markets conflict with an image of marriage as companionship, transcending the rules of class and status. Austen's Elizabeth Bennet and Fitzwilliam Darcy stage this debate in code-embedded rules of dancing, walking, and card playing, since these events have social rules that define how they are played, like lovemaking itself. Yet Elizabeth's blushing is an involuntary reaction, one that gives the lie to the social codes and expresses her sexual desire. By the same token, Darcy's confessions of love to Elizabeth reveal his sense of violating the market-driven pairing of his social class. A novel like Austen's poses questions to its audience about what counts as sexuality: conscious or unconscious motives, playing by social rules or giving up on all sexual rules entirely.

POPULAR FICTIONS ABOUT SEXUALITY: FROM MIDDLEBROW TO MIDDLE-CLASS DESIRE

The novel corresponded with the political and cultural arenas of the bourgeoisie in the nineteenth and early twentieth centuries. Sexuality in the novel also coincided with capitalist growth and the rise of the reading public. Sexuality in both normative and non-normative forms illustrated the relationship between public and private spheres, as well as between colonies and empires. As Nancy Armstrong has argued, the function of the novel was to form the discursive power of sexuality, particularly for the middle-class woman whose domesticity made her a powerful female subject, especially in sex relations. Armstrong contends that gendered power—particularly in DOMESTIC novels—earned

women power through their represented subjectivity. For Armstrong, the female was constituted as the modern individual, a subject ready to consent to sexuality. That is, modern women gain power through their gender and class as consensual subjects. For instance, among the sixty works of nineteenth-century U.S. novelist E.D.E.N. Southworth, several, such as *The Discarded Daughter* (1852), are chronicles of domestic abuse, and *Self-Raised* (1876) illustrates what happens when one mistress denies her would-be lover sexual intercourse until after his divorce.

By the mid- to late nineteenth century, novels did not play by these rules so much as offer stories that broke those rules. Elizabeth Stoddard's *The Morgesons* (1862), for example, documents love that exceeds social rules and norms. The two women whose lives are at the central of the novel, Cassandra and Veronica, must get past dangerous health issues to consummate their marriages. Cassandra loves one brother, who must be absent from her for two years to prove he can overcome his passions, especially inebriation. Veronica's lover dies from drinking, but not before they marry and reproduce. In this way, so much about sexuality concerned what biological or bio-social issues might impair a marriage or a reproductive couple. In "social gospel" novels such as Elizabeth Stuart Phelps's *The Silent Partner* (1871), minor characters might find sex pleasurable, but the two main characters eschew their sexual possibilities to remain spinsters and thus to serve as social guides.

By the beginning of the twentieth century, there were a number of fictions published on both sides of the sexuality question, in one of the first "sex battles" of the modern era. Intellectual critics like Charlotte Perkins Gilman—called a feminist humanist in her day—wrote social-reform novels about the dangers of sexuality as pleasure, arguing in-

stead that sexuality as reproduction was women's major contribution to sexual selection. At the same time, hundreds of New Woman novelists, in both Britain and the U.S., advocated sexual pleasure. For example, Grant Allen's *The Woman Who Did* (1895) developed ideas about free love, New Womanhood, and eugenic offspring as a result of independent and unmarried women giving birth.

Historically, the idea of sexuality as a form of a person's identity—and later as a kind of expression—took hold in modern culture. The beginning of the twentieth century inaugurated a new range of terms for sexuality, devoted to detailing a person's choice of sexual activity. By 1922, James Joyce's novel *Ulysses* opened up greater space for discussions of homosexuality or, in Molly Bloom's "yes I said yes," of sexual consent. In fact, the 1920s ushered in a Marxist-inspired debate about "sex expression" as a way out of the bourgeois restriction of sexuality. This influence of "sex expression" in literature, espoused by V. F. Calverton, made bourgeois sex regulation outdated, and instead celebrated the liberation of sexuality.

In premodern and modern texts, stories of "inversion," where one sex expressed the other gender's "qualities," were suggestive of alternative sexualities. In her exploration of inversion in *The Well of Loneliness* (1928), Radclyffe Hall contended for a new social recognition of lesbianism. As Laura Doan argues, this novel and its "insistent demand for social tolerance" was "the crystallizing moment in the construction of a visible modern English lesbian subculture" (xii, xiii). In Gale Wilhelm's lesbian fictions of the American 1930s, *We Still Are Drifting* (1935) and *Torchlight to Valhalla* (1938), the heroines in the first novel admit to each other's love, but they cannot deny the younger girl's parents, who want her to go on vacation with her betrothed and the

mothers of the lovers. By the end, the older lover, an artist, has to say goodbye to her lover and express her sense of a “drifting” sexual life. This notion of sexual “drifting” was earlier represented in Theodore Dreiser’s *Sister Carrie* (1900) and *Jennie Gerhardt* (1911), signaling “women adrift” in culture, their sexuality unconnected to domestic rites. By the 1940s, Mary McCarthy explored female sexuality in such works as *The Company She Keeps* (1942) and, twenty years later, her famous novel *The Group*. The first book is a collection of linked stories about a divorcee-in-waiting and her sexual play in a train to Nevada. The latter explores the sexual lives of six college graduates, with a focus on their gradual opening up to sexual adventures.

Nineteenth-century gay male novelists, such as Marcel Proust, André Gide, and Oscar Wilde, challenged conventional narratives of sexuality by introducing those that illustrate what Jonathan Dollimore calls the “terrifying mutability of desire” (56). By the turn of the century, masculinity enjoyed the cult of strenuousness, as espoused by President Teddy Roosevelt. His fear of “race suicide” influenced a number of American realists to write about a middle-class masculinity and reproductivity. An *élan vital* about masculinity was soon to be compromised by the experience of WWI, most notably in F. Scott Fitzgerald’s *The Great Gatsby* (1925) and Ernest Hemingway’s *The Sun Also Rises* (1926). Indeed, through the 1930s beleaguered American males seldom found vital expression, and were often seen as diminished by historical circumstances. Examples of such men are Charley Anderson in John Dos Passos’s *U.S.A.* (1930–36) and Tom Joad in John Steinbeck’s *The Grapes of Wrath* (1939).

It remained for Richard Wright to imagine Bigger Thomas in *Native Son* (1940), whose full-fledged racialized sexuality demanded punishment. Ralph Ellison’s

Invisible Man (1947) narrates Truman Blood’s rape of his daughter to signify the fear of black male sexuality. Through the 1950s and 1960s, in works like Sloan Wilson’s *The Man in the Gray Flannel Suit* (1955) and Richard Yates’s *Revolutionary Road* (1961), men have to find accommodation in a corporate world, where exertions of will are usually squashed. Perhaps the three most influential U.S. novelists in the post-WWII era—Saul Bellow, John Updike, and Philip Roth—have put the assertion of male sexuality and its complexities at the very center of their career-long projects.

SEXUALITY AS IDENTITY

Eventually, sexuality became part of the multivalent ways of identifying one’s self. Other interstices of human identity—such as RACE, ethnicity, CLASS, RELIGION, and DISABILITY—helped to sharpen the notion of the privilege of one’s sexuality or its alternative debility in a culture that promoted an essential heterosexuality. Second-wave feminists argued for sexual liberation, and their novels did the same: Pat Barker’s *Blow Your House Down* (1984) details the sexuality of England’s prostitutes, a sexual emotion that often leaves them feeling more for each other than for any heteronormative arrangement. Barker’s language is key to her commitment to sexuality as a crucial marker of identity: her heroines are lodged in sexual capitalism, but they find themselves more in their female communities and lesbianism than in making money through sex. Later, QUEER fiction would become legion. In this context, the role of the Naiad Press’s commitment to the lesbian novel from the 1970s to the 1990s cannot be underestimated. Twentieth-century gay male fiction, such as John Rechy’s *City of Night* (1963) and Colm Tóibín’s *The Master* (2004), glorified the new visibility of gay sexuality and the revisions of history about queer passions.

Thus, the history of sexuality in novels can be traced from early versions of eighteenth-century seduction novels to twentieth-century challenging fictions like Kathy Acker's *Blood and Guts in High School* (1984). GRAPHIC novels treat sexuality across the spectrum of responses: *Stuck Rubber Baby* (1995), by Howard Cruse, is a coming-out narrative/memoir about the civil rights movement in the South; *Potential* (1999), written by Ariel Schrag when she was in high school, is about queer sexuality and educational institutions; *Blankets* (2003), by Craig Thompson, is a straight romance that addresses teen sexuality, religion, disability, and childhood sexual abuse.

Alison Bechdel's *Fun Home* (2006), a graphic novel/memoir, has a rich historical dimension. A girl's father is closeted after WWII. His repression is a palpable vestige in the girl's life, especially after he walks in front of a truck and is killed. This death occurs right after the girl has confessed to her parents that she came out in college. Bechdel, the cartoonist of *Dykes to Watch Out For* (1986), took seven years to write and draw *Fun Home* because of the care she took in illustrating the historical difference between her father's gay identity and her own.

One might say that any narrative that changes the "Reader, I married him" plot (this from Charlotte Brontë's *Jane Eyre*, 1847) has its own sexuality—it resists the normative marriage plot. Plots that suggest a narrative challenge to normative sexuality might be called resisting fictions. In the twenty-first century, critics have addressed sexuality in novels through episodes, moments where sex, race, or class have worked together to change ideas of sexuality, such as during abolition and emancipation in the U.S., or in the "sex wars" of the 1980s and 1990s.

SEE ALSO: Gender Theory, Queer Novel

BIBLIOGRAPHY

- Armstrong, N. (1987), *Desire and Domestic Fiction*.
 Bechdel, A. (2006), *Fun Home*.
 Berlant, L. and M. Warner (1998), "Sex in Public," *Critical Inquiry* 24(2):547–66.
 Boone, J. (1998), *Libidinal Currents*.
 Burgett, B. (2005), "On the Mormon Question," *American Quarterly* 57:75–102.
 Burgett, B. (2007), "Sex," in *Keywords for American Cultural Studies*.
 Doan, L. (2001), *Fashioning Sapphism*.
 Dollimore, J. (2001), *Sex, Literature and Censorship*.
 Fielder, L. (1960), *Love and Death in the American Novel*.
 Foucault, M. (1990), *History of Sexuality*.
 Haag, P. (1999), *Consent*.
 Horowitz, H.L. (2003), *Rereading Sex*.
 Miller, D.A. (1988), *The Novel and the Police*.
 Sedgwick, E.K. (1985), *Between Men*.
 Sedgwick, E.K. (1990), *Epistemology of the Closet*.
 Tanner, T. (1981), *Adultery in the Novel*.

Shōsetsu see Japan

Simile see Figurative Language and Cognition

Siuzhet see Formalism; Narrative Structure

Socialist Realist Novel see Russia (20th Century)

Sosōl see Korea

South Asia

CHELVA KANAGANAYAKAM

As a category within the larger corpus of postcolonial literature, the South Asian novel has become increasingly significant in the past few decades, particularly in the West. In general terms, the corpus refers to fiction written by all writers whose origins can be traced to South Asia. It would, for instance, include writers from the Caribbean, the Fiji Islands, South Africa, Malaysia, and Singapore who were part of the Indian and Sri Lankan diaspora from the eighteenth to the early part of the twentieth century.

Writers such as V. S. Naipaul (Trinidad) and K. S. Maniam (Malaysia), for example, would be considered part of this larger corpus. Apart from the fact that such a classification becomes too unwieldy for critical analysis, it is hardly possible to arrive at anything resembling a conceptual frame while dealing with such multiplicity. For the purpose of the present entry, the term "South Asian" refers to novels written by authors who either live in South Asia or are a part of the recent diaspora from South Asia. While there is a significant body of fiction written in various South Asian languages such as Hindi, Marathi, Tamil, and so forth, the present entry focuses specifically on novels written in English.

The South Asian novel, then, brings together the work of authors who are often identified nationally rather than regionally (see NATIONAL). Indian, Sri Lankan, Pakistani, and Bangladeshi authors, for example, make up the majority of this body. Some of them left their countries after independence, and are now part of the diaspora. Referring to them as a composite group has both advantages and obvious problems. In historical terms, India and Sri Lanka have had a long colonial history. Their literary traditions in English go back to the nineteenth century, if not earlier. Pakistan came into existence in 1947 with the partition of India. Bangladesh is of more recent origin in that it was created when East Pakistan broke away from West Pakistan in 1971. Diasporic authors from South Asia now live in various metropolitan cities, such as London, New York, and Toronto, and while they are often identified in relation to their hyphenated status, they too are very much a part of this corpus. Their novels have, for the most part, insistently located themselves in their ancestral lands, and that alone brings them within the fold of South Asian literature. The frame that encloses all these authors is a common Indian origin, although Sri

Lankan migration goes back too far to be a natural fit. The divisions are often based on RELIGION, ethnicity, and NATIONAL history. South Asian novels do have a family resemblance, but even while one asserts commonalities, one should be aware of striking differences. Religion and secularism are useful markers to establish intersections, although any generalization tends to quickly become a simplification.

Unlike writing from the Caribbean, these various literatures have no clear originary moment or historical context to connect them. Apart from the chronological disjunctures that separate one nation from another, the novels produced by these authors are far too diverse in relation to thematic focus to fit easily in any mold. At some level it might be more meaningful to trace their literary histories nationally rather than regionally (see REGIONAL). A South Asian literary history remains a daunting task. Diasporic writing, one might argue, functions within its own discursive framework, although these texts too tend to fall naturally into national models. It is possible to assert that the experience of exile forms a common thread in all South Asian diasporic novels, but that does not completely overshadow national or hyphenated affiliations.

That said, it might be possible to claim that the South Asian novel in English has not been, for the most part, anticolonial in its orientation. Even the novels that were written in the decades immediately before or after independence do not concern themselves with colonialism or with the struggle for freedom. A case in point is G. V. Desani's groundbreaking novel *All About H. Hatterr* (1948), which, despite its date of publication, has very little to do with anticolonial struggle in India. To say this is not to deny that novels written during this time do not entirely eschew nationalist concerns. Raja Rao's famous work *Kanthapura* (1938) is about a village transformed by Mahatma

Gandhi's (1869–1948) nonviolent struggle against the British. The politics of colonialism is not totally absent from South Asian fiction, but it remains marginal to the overall body of literature.

The reasons for this lacuna are not entirely clear, since anticolonial struggle in India and Sri Lanka has a long and illustrious history. The reluctance among authors writing in English to focus on this struggle could well have something to do with the particular trajectory of colonial history in South Asia. Although English was introduced to India long before the nineteenth century, it was really in the first half of the nineteenth century that English came to be foregrounded as the language of governance, and an elaborate system of education in English was created by the East India Company. The famous Minute of Thomas Macaulay (1800–59) produced a class of people whose nationalist aspirations were combined with a commitment to the values of modernity. Although acts of resistance against the British gathered momentum in the twentieth century, there was also a measure of accommodation that made anticolonial sentiments less intense than in other parts of the world. This particular ambivalence, together with other factors, may have shaped literary history in ways that were not especially anticolonial. When South Asian authors began to write in the 1930s, the end of colonialism was already in sight and modernity had blunted the force of anticolonial sentiment.

While modernity is a central element in the South Asian novel, it is also true that any conceptual framework for understanding this corpus needs to acknowledge the presence of an ontology that has been shaped by RELIGION. If there is one element that distinguishes the South Asian novel as a whole, that would be its religiosity. The South Asian novel is not overtly religious, however, in that gods and temples do not

figure prominently in fiction. Apart from Raja Rao's *The Serpent and the Rope* (1960) and a few other novels, one might be hard pressed to find texts that are overtly concerned with religion. But the majority of novels are framed by a religious sensibility in that a religious ontology forms a subtext in this writing. The social and cultural dimension of religion is quite central to the South Asian novel. The precolonial world in South Asia was shaped by religion in that the temple, in the medieval period, became a node for organizing social and economic structures. Relations among people at the level of family and community were determined by the presence of the temple and its conventions of purity and pollution. All aspects of human life were organized in relation to the temple, although the social connections were not always apparent or fully acknowledged. A temple-based culture is very different from a culture that is fundamentally religious. It is the former that remains a strong presence in shaping the ethos of the South Asian novel. Religiosity takes different forms, depending on context and national or diasporic affiliation, but it continues to exert a powerful influence. Contrary to the assumptions of Orientalist thought, what is central to South Asia and its literature is not institutionalized religion but a particular way of life that is framed by religion. Although Hinduism may have triggered this particular kind of religiosity, the presence of religion can be traced to the novel in Pakistan and Sri Lanka as well.

Colonialism brought with it ideas of modernity, secularism, democracy, liberalism, and so forth. While these were central to South Asian society, the precolonial ontology was never entirely erased. The precolonial survived and coexisted with modernity. It is the combination of these two that one encounters most often in the South Asian novel. Depending on circumstances, the emphasis could fall on different events and

historical conditions, but often the texture of the novels accommodates a combination of the precolonial religious ontology and the British secular worldview. The phrase “tradition and modernity” has often been used to define much postcolonial fiction, but in South Asia it takes on a complex role. That said, each nation evolved its own literary history, with India being the dominant player in South Asian fiction.

INDIA

Serious writing in English in India began in the 1930s, although it is possible to claim that *Rajmohan's Wife*, written in 1864, was the first novel. The novels of the latter part of the nineteenth century and the early part of the twentieth were often imitative, and while they are of historical interest, they do not come across as significant writing. The one exception might be the novella *Sultana's Dream*, which appeared in 1905. Closer to a short story than a novel in its length, it demonstrates a control over form and a preoccupation with gender that are remarkable for the time.

After this the actual originary moment in the Indian novel was in the 1930s with the work of Raja Rao, R. K. Narayan, and Mulk Raj Anand. The three authors represent three different strands in the Indian novel, with Rao expressing the mystical, religious dimension, Narayan the fusion of the religious and the secular, and Anand the down-trodden and the subaltern. All three authors' first novels appeared in the 1930s—Rao's *Kanthapura* in 1938, Narayan's *Swami and Friends: A Novel of Malgudi* in 1935, and Anand's *Untouchable* in 1933. All three continued to write novels for the next five decades, and they remained the pioneers of the Indian novel. Rao's frame of reference is deeply religious and mystical, and his major work, *The Serpent and the Rope* (1960),

demonstrates a deep engagement with what it means to be a Hindu. Although the novel concerns itself with exile and hybridity, the major thrust is to establish the idea of Indianness as fundamentally religious and mystical. Of particular interest is the preface that Rao wrote for *Kanthapura*, which remains a precise statement about the distinctiveness of South Asian writing and the role of authors in expressing a different sensibility. Narayan, in most of his novels, focused on his imagined town called Malgudi, a place where the secular world of colonialism coexisted and sometimes collided with religion. His vision was benign, and he paved the way for a whole group of writers who molded his style to suit their own purposes. A more recent novel such as Kiran Desai's *Hullabaloo in the Guava Orchard* (1998) is a direct descendant of the Narayan mode of social comedy. Anand was more insistently a social critic, and his novels are often a strong indictment of caste and class in Indian society. He too has been deeply influential in shaping a particular strand of the Indian novel. Many of the recent novels that focus on marginalized groups can be considered direct descendants of the Anand mode.

The next phase in the Indian novel begins with the Partition of India, an event that involved violence on an unimaginable scale. On the eve of independence, the animosity between Hindus and Muslims became increasingly pronounced, resulting in widespread violence and the displacement of millions of people. Among the novels that were written about this moment, the best known is Khushwant Singh's *Train to Pakistan* (1956), a short but powerful work about the polarization of a once-peaceful village along religious lines. The conflict itself has continued to preoccupy novelists, and even a more recent novel such as the Pakistani writer Bapsi Sidhwa's *Cracking India* (1991), first published

under the title *Ice-Candy Man* in 1988, is concerned with the complexity and violence of the Partition.

The one anomaly in a chronology of the Indian novel is the 1948 publication of G. V. Desani's *All About H. Hatterr*, a wonderfully irreverent and comic text that deals with the life of an Anglo-Indian who decides to "go native." The style of the book is decidedly modernist, and his work is probably closer than that of any other Indian novelist to the spirit of James Joyce (see MODERNISM). Written very much along the lines of a PICAESQUE work, this novel remained almost unnoticed until the 1980s. Arguably a major work, it had no followers until Salman Rushdie picked up Desani's style in 1980.

The three decades that followed the Partition were a period of exciting activity, with a number of writers carving out their own areas of interest but mainly concerned with issues of social dislocation, personal identity, political instability, and so forth. The worlds they created are largely secular and ostensibly modernist, but a religious sensibility informs their work. The best-known writer of this period is possibly Anita Desai, whose novels combine an awareness of social and political conditions with a deep understanding of psychological concerns. Her *Clear Light of Day* (1980), for instance, is at once about the breakup of a family and about class, religion, and the role of MYTHOLOGY in personal and collective lives (see DOMESTIC). Kamala Markandaya is equally important, and her more overt realism in novels such as *Nectar in a Sieve* (1954) deals with the collapse of traditional ways of life and the gradual migration of people to the cities. Ruth Praver Jhabvala's *Heat and Dust* (1975) won the Booker Prize and remains a major work that deals with issues of identity and exile that are germane to Indian writing. A quest novel of

sorts, it embraces the colonial and post-colonial in remarkable ways.

The watershed moment in the South Asian novel occurred in 1981 with the publication of Salman Rushdie's *Midnight's Children*. A diasporic author, he produced with this novel a very different mode of literary representation. Not only is he overtly political and quite radical in his novel, he produced a work that was far more self-conscious and skeptical about grand narratives than anything written before. Rushdie has been a shaping influence for many writers, and even those who choose not to adopt his experimental style are much more sensitive to the difficulty of asserting absolute truths about nations or groups. With Rushdie, the South Asian novel became much more cosmopolitan, political, and experimental. In the post-1980 phase there is a much greater preoccupation with "public" events.

The period from Rushdie to the publication of Arundhati Roy's *The God of Small Things* (1997) forms another distinctive phase in the Indian novel. This period saw the rise of the international novel, with Indian authors being published and receiving recognition in the West. The more significant writers of this period include Allan Sealy, Amit Chaudhuri, Upamanyu Chatterjee, and Vikram Seth (see PUBLISHING). All these writers have their own styles, from the picaresque mode of Sealy to the Victorian triple-decker mode of Seth. Sealy's *The Trotter-Nama* (1990) is probably the first major novel after *All About H. Hatterr* to focus its narrative on the history of Indo-Anglians. Seth's *A Suitable Boy* (1993) goes back to the mode of nineteenth-century realism but shapes it to capture to multiplicity of India in the 1950s. Chaudhuri is among the finest of contemporary writers, and his *Afternoon Raag* (1993) has a lyrical and subtle texture that is distinctive. This was one of the most

productive periods for Indian authors, both local and diasporic, and the work they produced is as impressive for its range as it is for its depth and complexity.

Roy's *The God of Small Things* is clearly a product of the Rushdie phase, but the novel goes a step further in that it combines irreverence and comedy with a real concern for exploring alternative social and cultural structures. If Rushdie's intention is to take things apart, Roy is more concerned with picking up the fragments and putting them back together in a different way. Many of the recent writers, again local and diasporic, have demonstrated a similar stance.

The burgeoning of the Indian novel is now best seen in the West, where a number of major authors live and write. Among the best-known authors, Rushdie, Amitav Ghosh, Manil Suri, Anita Desai, Rohinton Mistry, Shashi Tharoor, David Davidar, Suniti Namjoshi, Jhumpa Lahiri, and Bharathi Mukherjee have been prolific. All are important in their own right, and the novels they produce do not conform easily to any model. It is possible to argue that their distance, spatially and temporally, from India has given them a particular perspective. In general—and this can be seen very clearly in Ghosh's *The Hungry Tide* (2005) and Kiran Desai's *The Inheritance of Loss* (2006)—there is skepticism about grand narratives and a desire to look at historical forces from the perspective of the downtrodden and the marginalized. *The Hungry Tide* is a fine example of the kind of work that shows a deep commitment to understanding the lives of the downtrodden while moving beyond tendentious writing. Particularly among diasporic Indian authors, the quest novel has become increasingly common. There is clearly a distinction between the conventional realism of Mistry and the overt experiment of Namjoshi, but in general the thrust has been to create complex structures that would enable

a depiction of “home” and belonging from a diasporic perspective. Namjoshi occupies a unique niche in having chosen a fabulist mode that is deceptively simple. Her *Conversations of Cow* (1992) is a short but impressive novel that reads like a children's story but deals with complex issues of sexuality, migration, and religion.

Contrary to expectations, second-generation novelists who were born in the West or grew up there have chosen, for the most part, to write about an imagined India rather than the world that is most familiar to them. While the reasons for this decision may well be complex, the fact is that they gravitate naturally to the world that they have heard about rather than the one they have experienced. Lahiri's *The Namesake* (2003) is not entirely set in India, but its preoccupations remain very Indian. Padma Viswanathan's *The Toss of a Lemon* (2008) is a more typical case in point; Viswanathan goes back to the history of a family of Brahmins in South India. The sensibility that informs these authors' work is subtly different from that of the first-generation authors, but they too insist on seeing the old world from a new perspective.

SRI LANKA

Compared to Indian writing, the Sri Lankan novel is smaller in scope. The beginning of this corpus can be traced to the 1930s, but it really came into its own in the 1960s with the work of James Goonewardene, Punyakante Wijenaikē, and Rajah Proctor. The first two have been particularly prolific, and novels such as Goonewardene's *A Quiet Place* (1968) and Wijenaikē's *The Waiting Earth* (1966) continue to be read. In retrospect, however, the novels of the 1960s appear to be essentialist in their constant recourse to the rural world as a source of strength and beauty. The novels of this period are competent, but

they do not convey a sense of authenticity. It was after the Insurgency of 1971 that the Sri Lankan novel came into its own, with several authors finding a new niche for their novels. The ethnic conflict between the Tamils and the Sinhalese which intensified in the 1980s added a further dimension of uncertainty and urgency to literature, with the consequence that several authors now produced a number of complex novels. Rajiva Wijesinha, Carl Muller, and Tissa Abeysekera are probably the best-known novelists who wrote from Sri Lanka. Wijesinha is easily the most experimental of the three, but all of them have written with a strong sense of a changing era. The majority of Sri Lankan novelists are part of the diaspora.

Among diasporic authors, the best known are Romesh Gunasekera and A. Sivanandan (England), Michael Ondaatje and Shyam Selvadurai (Canada), and Chandani Lokuge (Australia). Gunasekera's *Heaven's Edge* (2002), one of his finest works, not only explores the mindless violence in Sri Lanka but also demonstrates the difficulties of writing about this world with objectivity and accuracy. Equally political, Selvadurai's *Funny Boy* (1994) was acclaimed in the West for its frank and valuable treatment of both politics and sexuality. Predominantly a realist, Lokuge, in novels such as *Turtle Nest* (2003), writes about the experience of exile and the emotional consequences of return. Sivanandan's single novel, *When Memory Dies* (1997), brings together several generations to explore the complex path that led to the conflict between the Tamils and the Sinhalese.

The best-known Sri Lankan novelist is Michael Ondaatje, whose *The English Patient* won the Booker Prize in 1992. In *Anil's Ghost* (2000) he locates the narrative in a turbulent period of recent Sri Lankan history. A remarkable narrative about mindless violence and repression in Sri Lanka, Ondaatje's novel, despite all its pes-

simism, is framed by a commitment to a Buddhist vision. Like the Indian diasporic novel, Sri Lankan fiction continues to be preoccupied with politics, although notions of belonging and dislocation figure prominently. If some form of Hindu thought and ontology shapes much of Indian fiction, it is equally true that Buddhism frames much of Sri Lankan literature. In that sense, many of the recent novels that are ostensibly about politics are shaped by a sense of religion.

PAKISTAN

The notion of Pakistani writing is not easy to chart, particularly because some of the early writers lived in India before moving to Pakistan after the Partition. That said, among the early works Ahmed Ali's *Twilight in Delhi* (1940) is significant for its range and depth. It is the first novel to deal with Muslim life in colonial India with real sensitivity. Adam Zameenzad is another writer whose works combine formal experiment (see FORMALISM) with a real concern for the conditions in Pakistan. During its first three decades, however, Pakistan did not produce much fiction in English. This could well be a consequence of a national policy that established Urdu as the sole official language. In addition, Pakistan's political history has been very different from India's, and that might well explain the relative paucity of literary production specifically in the novel in English. While writing from Pakistan has begun to flourish in recent years, the majority of Anglophone novels by Pakistani writers are written in the diaspora.

The most accomplished writer from the earlier phase is Zulfikar Ghose, whose *The Murder of Aziz Khan* (1967) is set in Pakistan during the early days of independence. Many of his subsequent novels have been set in South America, although the subject

matter appears to suggest that the reality of Pakistan is not far from his mind. Bapsi Sidhwa's novels are more centrally concerned with Pakistan, although she tends to look at this world from the perspective of the Parsi community. She is best known for her novel *Ice-Candy Man*, a powerful novel about the violence of the Partition, told through the perspective of a young Parsi girl. Another writer of note is Tariq Ali (England), whose *Shadows of the Pomegranate Tree* (1992) is a moving evocation of Muslim Spain, told through the intersecting lives of several characters.

In the last two decades the novel from Pakistan has experienced a growth spurt, and now there is a substantial corpus that can be considered significant. Hanif Kureishi's *The Buddha of Suburbia* (1990) provides a sensitive and sometimes disturbing depiction of the South Asian experience in England. More recently, several diasporic authors from Pakistan have published notable works, each one distinctive in its own way, but all concerned with issues of nationalism, belonging, marginality, and the representation of Pakistan. Politics continues to play a dominant role in Pakistani writing, although it is woven into the lives of a broad spectrum of characters. Kamila Shamsie's *Kartography* (2002), Nadeem Aslam's *Maps for Lost Lovers* (2004), Mohsin Hamid's *The Reluctant Fundamentalist* (2007), and Mohammed Hanif's *A Case of Exploding Mangoes* (2008) provide a good sampling of contemporary Pakistani fiction. Many of these have been controversial, but all of them are significant works that attempt to grapple with the local conditions and international profile of Pakistan.

BANGLADESH

Bangladesh has been relatively slow in its literary output. The only author to gain

international recognition is Monica Ali, whose *Brick Lane* (2003) created considerable controversy over its depiction of Bangladeshis in London.

As a corpus, the South Asian novel in English has now become increasingly visible in South Asia and in the West. The increase in readership has resulted in greater sophistication and range among authors, and there is a much greater acceptance of this body of writing in South Asia than ever before. Within the broad framework of contemporary or postcolonial fiction, the South Asian novel remains distinctive in its evocation of a particular ontology.

SEE ALSO: Ancient Narratives of South Asia, Comparativism.

BIBLIOGRAPHY

- Gopal, P. (2009), *Indian English Novel*.
 Kanaganayakam, C. (2002), *Counterrealism in Indo-Anglian Fiction*.
 Mukherjee, M. (1971), *Twice Born Fiction*.
 Paranjape, M. (2000), *Towards a Poetics of the Indian English Novel*.
 Rahman, T. (1991), *History of Pakistani Literature in English*.
 Salgado, M. (2007), *Writing Sri Lanka*.

Southeast Asian Archipelago

RAZIF BAHARI

The Southeast Asian novel has come to be regarded as a problematic category, and justifiably so. Questions of critically representing and talking about the Southeast Asian novel have to ineluctably negotiate a series of issues relating to insider/outsider binaries of SPACE, perspective, voice, and representation that trouble the languages of literary creation and criticism. What

constitutes a Southeast Asian novel: one written about or set in Southeast Asia, or one written by a Southeast Asian (with all the complexities that that appellation entails)? If we agree on the former, then works such as C. J. Koch's *The Year of Living Dangerously* (1978), Anthony Burgess's *The Malayan Trilogy* (1972), and Noel Barber's *Tanamera: A Novel of Singapore* (1981) would fall under the Southeast Asian category. It is unlikely that any one formulation will do justice to the longstanding concern about who and what should be regarded as Southeast Asian; therefore, when from time to time reference is made to the Southeast Asian novel, this is simply by way of shorthand to mark off writing by Southeast Asians—specifically from the maritime Southeast Asian nations of Indonesia, Singapore, and the Philippines, as well as Malaysia—from that by non-Southeast Asians. Two other nation-states in the region, Brunei and Timor-Leste, are not discussed in this entry as they do not have autonomous traditions in the novel.

Although a Western form, the novel in the Southeast Asian archipelago is by no means a direct and unmitigated borrowing from the West but is the product of a long and varied ancestry. The genesis of the novel in the archipelago has been traced to traditional literary forms that have existed in both local and REGIONAL literatures of the area. The HISTORY of the novel in Indonesia traces the moment of its birth to the late nineteenth and early twentieth centuries and identifies the Javanese *pakem* or prose summaries of shadow-play stories, travelogues, and novelistic literature in Dutch, Chinese, and Malay languages as its literary progenitors (Quinn). In Malaysia, the novel is regarded as an extension and transformation of the *hikayat* (a traditional form of Malay epic written in prose and verse) that has existed since the early seventeenth century (Wahab Ali), while in the Philippines it

is said to have developed from the nineteenth-century metrical romance known as the *awit* and *corrido*, moral tracts written in narrative form, and beyond these, the *pasyon*, or religious epic depicting the passion of Jesus Christ, in the eighteenth century as well as folk narrative traditions going back to pre-Spanish times (Kintanar).

The critical move toward local adaptation, cultural re-creation, and indigenized use of the novelistic genre cannot be ignored in any account of the genesis of the novel in Southeast Asia. Though European in origin, the novel, even early on, has shown its own practice of appropriation with recognizably “postcolonial” textual tactics of hybridized performance: the fusion of native orature and primordial mythology with the stylistic protocols of a new Western DISCURSIVE GENRE. Indeed, the novel was shaped by the material and ideational changes associated with the rise of print technology, secular education, and contact with European sources, as much as it was, as Wahab Ali contends, a manifestation of “local response to these phenomena and how they were understood and imitated” (261).

RESPONDING TO MODERNITY

The idea of the modern, as contrasting or interacting with the traditional, is firmly embedded in the Southeast Asian novel. This is evidenced by early novels addressing the culture clash during the colonial period, e.g., Indonesian writers Merari Siregar's *Azab dan Sengsara* (1920, Torment and Misery) and Marah Roesli's *Sitti Noerbaja*; Malaysia's Ahmad Rashid Talu's *Iakah Salmah?* (1929, Is It Salmah?); and Filipino nationalist José Rizal's *Noli Me Tangere* (1887, Touch Me Not) and its sequel, *El Filibusterismo* (1891, The Filibustering). In these works, the collision of Western values with traditional ones is depicted through

tracing the development and experiences of particular individual characters who personify the polarities of cultural authenticity and the rejection of traditional communalism. Extraordinary individuals set the tone of some early novels, and it is possible to see the significance and the pivotal position of the individual as a signifier of the core of ideas relating to modernity (see MODERNISM). This affirmation of individuality—in the form of exceptional individuals who stood apart from the masses and had a clearer vision: the nationalist revolutionary, the iconoclast, the educated reformer who gave voice to the hopes of those who were unable to articulate a different political future—both reflects and facilitates the transformation of other values relating to, for example, authority and community, national consciousness, and freedom of the individual.

The emphasis on characterization is thus expressive of the novelist's general orientation to the extent to which the traditional has been permeated by the modern. It must be said, of course, that the novel is hardly a neutral medium in this regard. As a Western literary form, the novel was shaped by the material and ideational changes associated with the rise of capitalism and Western form of education which privileged the individual over society. Yet in the hands of pioneering Southeast Asian novelists such as Rizal, Merari, and Ahmad, it proved adaptable enough to the needs of presenting a different consciousness. The tendency to acclaim characters that are pulled both ways—seen as representative of the masses, adhering in large part to traditional ideas and values and often rooted in village life or at least retaining rural ties, on the one hand; on the other, as fierce critics of their indigenous culture and defiant of tradition, cosmopolitan and unconventional, whose outlook is shaped by being brought up in the capital cities of Europe and being given a privileged education—became a stock-in-trade for

these early novels. The elevation of the individual, however, need not involve any wholesale rejection of tradition-bound social practices and customary law or a continued communal consciousness. Though the rise of individualism in Southeast Asia seems to suggest an openness to modernity, the novelistic response to other forms of modernity has been more divided and has involved considerable hesitancy and ambivalence (Teeuw).

The city is a symbol of the modern, counterpoised to the village with its old-established rhythms and customs, and the dichotomy between the two is evident, for example, in Singaporeans Lim Boon Keng's *Tragedies of Eastern Life* (1927), Goh Poh Seng's *If We Dream Too Long* (1972), Filipino F. Sionil Jose's *My Brother, My Executioner* (1973), Indonesian Toha Mohtar's *Pulang* (1958, *Homeward*), and Malaysians A. Samad Said's *Salina* (1961, *Salina*) and Shannon Ahmad's *Rentong* (1965, *Rope of Ash*). In these novels, the city is represented as the zone of contact between the old Southeast Asia and the world outside, as the hub of those processes of change concerned with revolution, commodity, and cultural exchange, or as the primary site of infection of the barren, exploitative, and depersonalized nature of modern life. Rural enclaves, on the other hand, remain a storehouse of indigenous spiritual sensibilities and traditional communalism. Recognition of the city as a fact of contemporary Southeast Asian life does not necessarily involve an emotional acceptance; in fact many of the narratives are resistant. Time and time again, as in the novels of Jose and Shannon, we find a preference for the individual who has clung to his or her cultural roots, who is at home or yearns to be at home in the village, and whose strength is derived from connectedness with the past. If there is some duality in a character's makeup—elements of the traditional and elements of the

modern, of the simple and the sophisticated, of the country and the city—invariably it is the former that are privileged.

The question of Southeast Asia's response to modernity, of how and in what ways a merger could be negotiated between the traditional and the modern, though incidental to the novels' main themes, continues to play out in East Kalimantan author Korrie Layun Rampan's *Api, Awan, Asap* (1998, Fire, Cloud, Smoke), Filipino Bienvenido Santos's *The Praying Man* (1982), Malaysian Abdul Talib Mohd Hassan's *Saga* (1976, Saga), and Singaporean Isa Kamari's *Memeluk Gerhana* (2007, Embrace the Eclipse). The picture that emerges from these novels is not so much a portrait of development as a collage of the conditions of urban life, decimation, displacement, breakdown of traditional values and social units, the human dislocation of structural change. Yet their more enduring value lies in their implicit endorsement of a modern future while at the same time insisting that the past must not be discarded, forced out by the juggernaut of modern technology and processes. The traditional and the modern are not seen as binary opposites but as shading into each other, even organically linked. Nor are they seen as separated in time but as existing contemporaneously. The clash between the indigenous and the foreign worlds is present, but so is the idea that modernization does not mean Westernization, nor should it take place under the tutelage of the West.

The literary response to modernity in Southeast Asian novels is arguably historically and culturally conditioned, though history and culture themselves are not separate and self-contained worlds. Clearly, over time socioeconomic developments intersect with culture. The emergence of the novel in Southeast Asia was, after all, itself the result of developments in education and technology and changing social relation-

ships. It is certainly true that the evolution of the novel in Southeast Asia was responsive to the processes of social and economic change that had taken root. As a result of, e.g., the spread of globalization, the movement of people across national boundaries, and the wider circulation of ideas about modernity and development, the Southeast Asian novel has come increasingly to reckon with the individual grappling with this phenomenon. Instead of characters being the embodiment of their societies, we see them moving between different social worlds, usually struggling to arrive at some accommodation between them. The diasporic writings of Tash Aw, Shirley Lim, Fiona Cheong, Dewi Anggraeni, and Bienvenido Santos, for example, are representative of this dilemma, which brings to our attention individuals situated in the crossfire of cultural exchange, and hence enlivened debates about the negotiation of difference.

MAKING SENSE OF THE PAST

The Southeast Asian novel's characteristic concern with the past must be contextualized against the history of colonialism in the archipelago. For a century or more Southeast Asians had played little part in shaping the dominant ideas about themselves and the archipelago. Colonial evaluations had deeply permeated Asian consciousness—European literature, historical accounts, and political thought of the time rendered the natives as peoples without significant intellectual or cultural attainment. They were told they had no history. Given this imposed heritage, the Southeast Asian novel became an instrument of correction and a means of self-affirmation (Hooker; Martinez-Sicat). From its earliest days, the novel has been seen as a way of recovering a sense of self, expressing the hopes of decolonization,

and imagining alternative futures. For reasons both of personal emancipation and social responsibility, Southeast Asian writers took upon themselves the task of undermining European representations of their respective peoples and establishing new ones. Led by writers such as Sutan Takdir Alisjahbana, Pramoedya Ananta Toer, and Mochtar Lubis in Indonesia; Lazaro Francisco, F. Sionil Jose, and Nick Joaquin in the Philippines; Ishak Haji Muhammad, Lee Kok Liang, and Lloyd Fernando in Malaysia; and Harun Aminurrashid in Singapore, the novelists became historians, anthropologists, and sociologists, as well as fabulists, in order to reclaim a national identity.

The nub of the novel's engagement with the past lies in the novelist's presentation of history as a space within which to search for meaning, open up new ways of seeing and patterning, and posit suggestive connections between then and now. This may be done by revisiting the past in the form of conventional realistic fiction—as is the case in Utuy Tatang Sontani's *Tambera* (1949), Harun Aminurrashid's *Panglima Awang* (1958, Commander Awang), Abdul Kadir Adabi's *Acuman Mahkota* (1988, Lure of the Crown), and Edilberto K. Tiempo's *More than Conquerors* (1964). Alternatively, it may take the form of presenting the past through symbols, cultural fragments, or personal remembrances conveyed as meta-fiction, pastiche, parody, irony, and other such characteristics associated with the postmodern—as in Y. B. Mangunwijaya's *Durga/Umayi* (1991), Eka Kurniawan's *Cantik itu Luka* (2002, Beauty Is a Wound), Faisal Tehrani's *1515* (2003), and Eric Gamalinda's *Empire of Memory* (1992) (see PARODY).

Characteristically, there is a felt need among some Southeast Asian novelists to draw on the past and show how it infuses the present, certain in their belief that narrative

could propose an alternative social world to those which had existed or which now exist. On a postcolonial account, the process of retelling the colonial encounter from a counter-hegemonic standpoint undermines the constructs of Western universalism and creates a space within which previously subordinate peoples of the archipelago can take control of their own destinies (Razif). The reinterpretation of the past is crucial to Pramoedya Ananta Toer's purposes in his novels *Bumi Manusia* (1980, This earth of mankind), *Anak Semua Bangsa* (1980, Child of all nations), *Jejak Langkah* (1985, Footsteps), and *Rumah Kaca* (1988, House of glass), collectively known as the Buru Tetralogy. Pramoedya depicts the past both directly through authorial commentary and by means of the remembrances and reflection of his characters. In *Bumi Manusia*, for example, Minke's narration is interspersed with accounts (in the form of retelling, letters, and court testimony) by other characters modeled after figures from fin-de-siècle East Indies history, which gives a kind of interconnected fragments of narration within narrations of Indonesia's colonial history, much of it sharpened by recollections of his own involvement in the struggle both against Dutch colonialism and Javanese feudalism. Pramoedya's narrative starkly depicts the dangers of representing the past in the kind of essentialized terms that could be appropriated by a new imperium as bad as the old. His twin targets are feudalism and colonialism, and the one tends to reinforce the other. He is also concerned with highlighting elements of Indonesian culture received through history which he believes must be swept away if Indonesians are ever to be free. More than any other Indonesian writer, he sees the past as a mixed inheritance that can be deployed in very different ways. In this respect, Pramoedya's tetralogy is revelatory.

THE ISSUE OF LANGUAGE

There has been some debate about how far Southeast Asian novels in English are representative of the totality of Southeast Asian fiction, and also about whether they are less “authentic” than novels written in Bahasa Indonesia, Malay, Tagalog, or other indigenous languages. A fundamental site of contention concerns the nature and politics of language as resistance. The case for writing in the vernacular is framed in terms of resistance to the outside, commonality on the inside. By embracing a sense of relatedness, recognizing some elements of a shared past, and espousing values taken to be characteristically autochthonous—which writing in the indigenous language is perceived as epitomizing—the vernacular novel serves as a renewed instrument of affirmation against an imposed imperialist tradition and the colonial language that is its medium. In part this draws on the belief that the liberation from colonial domination presupposes liberation from the colonial language. There is also the stigma attached to the English language in the post-independence era as a neo-imperialist global language and that it is the language of a Western educated elite (see NATIONAL, REGIONAL).

The problematic status of English in the Philippines, Malaysia, and Singapore can be traced to their respective colonial legacies. Indonesia, which, as Benedict Anderson observes, was the only major exception in the overall imposition of the colonial language as the language of state in the colonial empires, never had a native modern literature in Dutch. The Dutch did not institutionalize the language of the metropole in its colony. On the contrary, Dutch colonial language policy has been one of racist segregation. The natives of the East Indies were forbidden to use the Dutch language for fear that—to use the words of a Dutch teacher of the time—Dutch education was “likely to

increase the misdeeds of the natives. They will be less obedient because they are more acquainted with the norms and the way of life of the white man” (Ahmat, 76). Instead, Malay (the lingua franca of traders throughout the archipelago since as early as the seventh century) was adopted by the natives as the new national language and later, in 1928, named Bahasa Indonesia, or “the language of Indonesia.” It was this language that was developed and became the primary literary medium in Indonesia.

The English language occupies an ambivalent place in Malaysia. Introduced by British colonial presence at the turn of the nineteenth century, English represented, for a long time, the language of the ex-colonizer, and is even now regarded as the language of Western capitalism. Though it is seen in its omnipresence as the international language of modernity, it was subsumed by the Malay language (nationalistically renamed Bahasa Malaysia, or “Malaysian language”) which was, and still is, privileged by the state narratives as a key element in constituting Malaysian-ness in the postcolonial era (after 1957). One line of thinking that promotes the ideal of a postcolonial Malaysian consciousness derives primarily from a kind of reverse discrimination in the literary sphere, broadly coterminous with policies in the political and sociocultural domains. This is the demand that Malaysian writing should have a Malaysian (read: Malay) content, a Malay(sian) form, and be judged by distinctively Malay(sian) criteria. In addition, it is sometimes argued that for a work to come within the canon of Malaysian literature it must be written by a Malay, be committed to a political vision—even a particular ethnocentric vision—of Malaysia’s future, and be written in the Malay language. This privileging of Bahasa Malaysia creates, as Quayum intimates, a “prevailing cleavage between Malaysia’s national literature, written in the national language of Bahasa Malaysia, and

those dubbed as ‘sectional literatures,’ written in its minority languages such as Chinese, Tamil and English” (1960, 2). It is emblematic of this cleavage that the recipients of the *Anugerah Sasterawan Negara* (National Literary Laureate award), conferred by the Malaysian government since 1981, have all been Malays writing in the Malay language. The hostile political attitude toward English, regarded as an “alien” language, “rooted neither in the soul nor in the soil” (Quayum, xii), bore serious implications for Malaysian writers like K. S. Maniam, Lloyd Fernando, and Lee Kok Liang, whose choice of English as their medium of expression meant, *ipso facto*, that their work would never be admitted into the Malaysian literary canon. Such views, although extreme, suggest a tendency in Malay(sian) texts to cultivate the distinctively Malay-(sian) and insulate the Malay (sian) experience from its intra- and international milieus.

In the Philippines, English became the medium of instruction in schools and communication among the populace when the Philippine Commonwealth became an American colony (1901–41). It subsumed Filipino, the national language (based on Tagalog, a dialect spoken by those who live in the capital city, Manila, and its immediate surrounds), in terms of prevalence. Though there is a strong tradition of novels written in the major vernaculars such as Tagalog, Hiligaynon, Cebuano, and Illocano—e.g., the early Tagalog novels of Lope K. Santos, such as *Banaag at Sikat* (1901, *From Early Dawn to First Light*), hailed as a milestone in the development of the socially conscious Tagalog novel, and Faustino Aguilar’s broadside of the clergy’s hypocrisy in *Busabos ng Palad* (1909, *Slaves of Circumstance*), Tagalog itself is often seen as a hegemonic construct of the nation-state, privileging those who reside in the seat of economic and political power in the capital. Consequently, as Philip Holden argues, “English

remained, partly because speakers of regional languages in the Philippines preferred the neutrality of English to what they perceived as the hegemony of Tagalog-based Filipino” (161). There has been some debate about how far this body of literature in English is representative of the totality of Filipino fiction, and also about whether it is less “authentic” than novels written in Tagalog, Ilocano, or other indigenous languages. While these issues cannot be pursued here, it is useful to note that fiction written in the regional languages exceeds that in English in the Philippines. Novelists whose writings in English have been awarded the Magsaysay Award—Asia’s equivalent of the Nobel Prize—for literature, include Nick Joaquin, F. Sionil Jose, and Bienvenido Lumbera. Works by a younger generation of novelists writing in English who have achieved prominence, such as Charlson Ong, Krip Yuson, Jose Dalisay, Vicente Groyon, and Dean Francis Alfar, also deserve a mention here.

The existence of important novelists writing in the ethnic vernacular languages in Singapore—the likes of Isa Kamari, Suratman Markasan, Rohani Din, and Peter Augustine Goh (Malay); Soon Ai-Ling, Yeng Pway Ngon, Huai Ying, and Wong Meng Voon (Mandarin); and Ma Elangkannan, Rama Kannabiran, Mu Su Kurusamy, and S. S. Sharma (Tamil)—seems to dislodge the notion that Singaporean writing is dominated by fiction in English, and in fact fosters an appreciation of the nation’s vibrant, multiple cultural constitution. Despite ethnic literature’s unique status as a repository for the otherwise forgotten and neglected realms of inwardness, sensuousness, cultural mooring, historicity, memory, and ethnic solidarity, there are valid concerns expressed by the writers themselves of the difficulties they faced in achieving recognition locally and at large, winning readerships and wider publication, and funding their own labors. Indeed, the

fractured community of its writers is exemplary of the general experience of neglect, prejudice, lack of sustainable audience, and the short shrift given to them by international publishers experienced by writers writing in the local vernaculars. In part, this can be attributed to the language situation in Singapore, where English has become an entrenched lingua franca used by its multi-ethnic society of Chinese, Malay, Indian, and other communities. This is due to the colonial policy pertaining to the use of English, first adopted by the East India Company and later direct British colonial rule, as well as the post-independence government's introduction of English-medium education since the 1980s. Though English is officially promoted as "a language facilitating trade and technological development," and invested with a sense of social prestige—an attitude that stems from the fact that, historically, the English language (with its colonial origin) has functioned as a tool of power, domination, and elitist identity—it is not considered a language of "cultural belonging" (Holden, 161). In fact, an early generation of English-language writers struggled with their elite status. On the one hand, they were "identified with a colonialist heritage," being seen and indeed seeing themselves at times as "working in a second tongue, alien from Asian identity," and yet they also strove, through English, to connect with Asian literary traditions (Lim, 2002, 48). A policy of bilingualism introduced in schools from the 1960s—which privileges English as the "first language," and the study of Chinese (Mandarin), Malay, or Tamil, now termed mother tongues, and deemed crucial to the preservation of "traditional values," as a "second language"—has produced a new crop of writers more proficient in English than their own mother tongues. The works of contemporary Singapore writers such as Catherine Lim, Suchen Christine Lim, Philip

Jeyaretnam, and Hwee Hwee Tan, while exposing the dead ends and the circularities of this postcolonial condition, and touching so profoundly upon many of the salient contemporary artistic and political issues—issues of identity and indifference, self and other, alterity and conformity, public and private—is thus best described as a kind of "postmodern realism" of present-day Singapore.

BIBLIOGRAPHY

- Adam, A.B. (1995), *The Vernacular Press and the Emergence of Modern Indonesian Consciousness*.
- Anderson, B. (1991), *Imagined Communities*.
- Foulcher, K., and T. Day, eds. (2002), *Clearing a Space*.
- Hau, C.S. (2000), *Necessary Fictions*.
- Holden, P. (2008), "Colonialism's Goblins," *Journal of Postcolonial Writing* 44:159–70.
- Hooker, V.M. (2000), *Writing a New Society*.
- Kintanar, T.B. (1990), "Tracing the Rizal Tradition in the Filipino Novel," *Tenggara* 25:80–91.
- Lim, S. (1991), "Malaysia and Singapore," in *Commonwealth Novel since 1960*, ed. B. King.
- Lim, S. (2002), "The English-Language Writer in Singapore," in *Singapore Literature in English*, ed. M. A. Quayum and P. Wicks.
- Martinez-Sicat, M.T. (1994), *Imagining the Nation in Four Philippine Novels*.
- Quayum, M.A. (2006), "On a Journey Homeward," *Postcolonial Text* 2(4):13.
- Quinn, G. (1992), *Novel in Javanese*.
- Razif Bahari (2007), "Piecing the Past," in *Pramoedya Postcolonially*.
- Singh, K., ed. (1998), *Interlogue: Vol. 1: Fiction*.
- Teeuw, A. (1967), *Modern Indonesian Literature*.
- Wahab Ali, A. (1991), *Emergence of the Novel in Modern Indonesian and Malaysian Literature*.

Southeast Asian Mainland

DAVID SMYTH

Mainland Southeast Asia refers to the countries of Burma, Thailand, Laos, Cambodia, and Vietnam. The national language of each

is written in its own distinctive script, and with the exception of Thai and Lao, which are closely related, they are mutually unintelligible. In the past these countries have often been at war with one another and, even today, many citizens of the region have grown up with attitudes of indifference, suspicion, or hostility toward the countries which border their own. TRANSLATIONS of novels from one Southeast Asian language to another are almost nonexistent; the novel has developed separately in each of the five countries, responding to literary influences from outside the region more than from within.

There are, however, some similarities to be observed across the region, especially in the patterns of literary production, distribution, and consumption. Before the twentieth century the literature of most of mainland Southeast Asia was generally composed in verse, recorded by hand on palm-leaf manuscripts, and transmitted by oral recitation. The huge technological and social advances that took place in Europe during the nineteenth century spread quickly to the countries of mainland Southeast Asia and helped to create the environment in which the novel emerged. The capital cities grew rapidly, trade increased, and internal communication routes improved; the arrival of printing technology paved the way for the birth of JOURNALISM and print capitalism (see PAPER AND PRINT); educational expansion created a reading public and a new middle CLASS with the money and leisure to be able to afford newspapers, magazines, and books; and foreign novels, read by an elite minority in the original language, were then translated or adapted into the local language. When daily newspapers began to appear in the early decades of the twentieth century, a significant number of pages each day were devoted to serialized novels, and the majority of readers bought newspapers to find out what was happening

in the more immediate fictional world rather than in the distant real world. The SERIALIZATION of novels in newspapers and magazines remains widespread in the twenty-first century, sometimes followed by publication in book format (see PUBLISHING).

The demand for new fiction in the early years of the newspaper created opportunities for aspiring writers. When newspapers became less reliant on fiction, many writers switched from fiction to journalism, political commentary, and EDITING. Making a living exclusively from writing fiction has always been difficult. Today, the financial rewards tend to lie in writing serialized novels for bestselling women's magazines, or film and television scripts. The market for "serious" fiction remains small and confined largely to the national capitals. Print runs, even for an established writer, are typically between two and three thousand copies, and with publishers often unwilling to risk reprinting, many books disappear after the first edition (see REPRINTS). Even the works of nationally recognized authors can be unobtainable for years before a publisher feels that a reissue might be financially viable, and with few public LIBRARIES in the region, can become almost impossible to track down. Some enterprising writers publish and distribute their own works, both to keep them in print and to maximize their own financial gain.

Thailand (formerly Siam) is the only country in mainland Southeast Asia to have escaped colonial rule by a European power. Nevertheless, the early HISTORY of the novel in Thailand reflects a strong British influence. In the 1890s Thai aristocrats who had recently returned from their studies in England founded the first literary magazines. It was in the pages of one of these magazines, in 1901, that Thais were introduced to the novel genre through *Khvam phayabat*, a serialized translation of Marie Corelli's *Vendetta* (1886). During the first two

decades of the century translations and adaptations of the works of Western writers, including those by Alexander Dumas, H. Rider Haggard, Anthony Hope, A. Conan Doyle, and Sax Rohmer, were popular. The first original Thai novel was *Khwam mai phayabat* (Non-vendetta), a lengthy work of more than seven hundred pages, written by “Nai Samran” (Luang Wilat Pariwat) in 1915.

In the early 1920s silent foreign serial films had an impact on the novel. Writers were hired by cinema owners to write “film books” which explained the plots of the weekly episodes to cinemagoers and provided translations of the onscreen inter-title dialogues (see ADAPTATION). Producing these cheap paperbacks provided authors with experience in writing for a commercial market, but also awakened them to the possibilities of creative writing, unconstrained by the limitations of events unfolding on screen. Many went on to make a name for themselves among the first generation of Thai novelists. The film books also encouraged the public in the habit of buying and reading books.

By the late 1920s popular taste in reading had shifted away from translations and adaptations of Western fiction to original Thai stories. Most popular were romantic tales with a realistic, contemporary setting, where the hero and heroine faced some obstacle to their love, be it disapproving parents, prearranged marriage to another person, or a difference in social status (see ROMANCE, REALISM). Such themes recur throughout mainland Southeast Asian fiction. In the next decade novels that commented on wider social issues appeared. Siburapha used the correspondence between the hero and the heroine in the EPISTOLARY novel *Songkhram chiwit* (1932, The war of life) to portray social injustice, religious hypocrisy, corruption, and inadequate health care. Ko’ Surangkhanang’s *Ying khon chua* (1937, The Prostitute) dealt

with a controversial subject for a female author. Her sympathetic portrayal of the plight of prostitutes and her criticism of polite society’s double standards created a considerable stir.

During the liberal climate of the early post-WWII years, a small number of writers, of whom Siburapha was the most famous, wrote MARXIST-influenced “literature for life” which aimed to highlight injustice and point the way forward to a fairer society. Their efforts were short-lived, and several were imprisoned in 1952 in a government purge of suspected communists. One of Thailand’s most famous and popular novels, *Si phaen din* (1953, Four Reigns), appeared in the wake of this clampdown on progressive intellectuals. The author, M. R. Khukrit Pramoj, was a staunch royalist and drew on his own personal familiarity with palace life to provide a nostalgic portrayal of traditional court culture.

The 1970s were a turbulent period in the country’s history. At the beginning of the decade the radical fiction of the 1950s was rediscovered and played a part in politicizing the student movement which toppled the military dictatorship in 1973. A violent military backlash in 1976 followed and heralded a brief dark age for writers and publishers. But by the 1980s, “literature for life” had had its day: society had become more complex, the political climate less oppressive, and the reading public more demanding. The country’s most acclaimed contemporary writer, Chart Korbjitti, made his debut at this time, and while in works such as *Chon trok* (1980, No Way Out) and *Kham phiphaksa* (1981, The Judgment) he movingly portrays the plight of the disadvantaged and socially excluded, he does not preach an overt political message.

Burma, to the west of Thailand, was under British colonial rule from 1886 to 1948. The first important Burmese novelist was U Lat, whose novels *Sabe-bin* (1912,

Jasmine) and *Shwei-pyi-zo* (1914, Ruler of the Golden City) deal with the preservation of traditional Burmese values. They are written in an ornate, traditional style of language and represent a transition stage in the development of Burmese fiction. P. Monin adopted a more natural, economical style in *Bi-ei Maung Tint-hnin Ka-gyei-the Me Myint* (1915, Maung Tint B.A. and the Dancer Me Myint), which is regarded as the first “modern” Burmese novel. In the 1930s, as writers began to focus more on social issues, Thein Pe Myint created an outrage with his novel *Tet Hpon-gyi* (1937, The Modern Monk), which highlighted the sexual activities of monks.

In 1962 General Ne Win (1911–2002) staged the military coup that set the country on its isolationist “Burmese Path to Socialism.” Writers were expected to play their part in the socialist revolution by producing works that glorified the triumph of peasants and workers over various hardships. Literary prizes were the potential reward for those who produced works of “socialist realism,” imprisonment the potential fate of those who did not. Ma Ma Lay, author of *Mon-ywei mahu* (1955, Not Out of Hate) and modern Burma’s most important female writer, was one of the many writers imprisoned by the regime. In 1988, massive rioting against the military regime, in which thousands of pro-democracy demonstrators died, led to Ne Win’s resignation. But the military quickly reasserted its authority and has since maintained strict control over all forms of printed media, including literature.

To the east of Thailand lie Vietnam, Cambodia, and Laos, once collectively known in the West as French Indochina. Vietnam was invaded by the French in 1858 and became a French protectorate in 1884. The French colonial regime replaced the traditional character-based writing system with *quốc ngữ*, a romanized system of writing devised by Catholic missionaries in the

seventeenth century. It was promoted in schools and newspapers, and because it was much easier to learn, it quickly became accepted. The new script, and a new generation of readers and writers who had passed through the French colonial education system and been exposed to French literature, were important factors in the process of literary modernization that began in the early years of the twentieth century. The first modern Vietnamese novels appeared in the South in 1910.

The polarization in Vietnam caused by thirty years of war (1945–75) and more than twenty years of partition (1954–75) is reflected in the country’s literature. In the U.S.-supported South, writers enjoyed a degree of freedom to express their opinions, be they anticommunist sentiments, criticisms of the government, or portrayals of social upheavals brought by the intensifying war and the presence of large numbers of American soldiers in the country. In the Chinese/Soviet-supported North, the Communist Party required writers to spread the government’s vision of a socialist future, which included the defeat of the foreign aggressors and the reunification of the country. For many writers who had wholeheartedly written stories glorifying the wartime struggle and sacrifices, peace brought with it a sense of disillusionment at the compromises that officially sanctioned literature demanded. But in 1986, in the wake of the liberalizing *glasnost* policy in the Soviet Union, the government introduced the *đổi mới* (renovation) program of political, economic, and cultural reforms that heralded a more liberal era. Established writers such as Lê Minh Khuê and Duong Thu Huong were able to broaden the scope of their work, while the freer climate saw the emergence of writers such as Nguyễn Huy Thiệp, Hồ Anh Thái-, and Phạm Thị Hoài-, whose works often reflect a disappointment with a postwar society that falls short of its

heroic self-image. But even under *đổi mới* liberalization, there are unwritten boundaries beyond which a writer should not venture. Duong Thu Huong, author of *Tiêu Tụyết Vô Đề* (1991, Novel without a Name), has paid a heavy price for challenging those boundaries: her work is now banned in her native country, and she has been harassed, arrested, and subjected to travel restrictions.

Cambodia, once the center of an empire whose influence spread over much of mainland South East Asia from the tenth to the thirteenth centuries, was a French protectorate from 1863 until 1953. The first Cambodian novel, *Sophat* (1941, *Sophat*), by Rim Kin, appeared at a time when Cambodian printed material of any kind was very limited. Nou Hach is the most highly regarded of early Cambodian novelists for his novels *Phkă srabon* (1949, *The Faded Flower*), which attacks the convention of arranged marriages, and *Mālā tuón citt* (1972, *The Garland of the Heart*), which portrays Cambodian society during WWII. He is assumed to be one of more than a million Cambodian citizens who died during the murderous Pol Pot period (1975–78). Kong Boun Chhoeun, whose works first appeared in the late 1950s, is one of very few Cambodian writers to have survived the Pol Pot years. Following the Vietnamese invasion of Cambodia in 1978 and the establishment of a new Vietnamese-backed Cambodian government, he and other writers produced state-published novels which portrayed the brutality of the Khmer Rouge and Cambodian–Vietnamese solidarity. Following the withdrawal of Vietnamese troops in 1989 and the move to a market economy, writers began to enjoy greater individual freedom.

From 1883 until 1953 Laos was a French colony. In 1963 the communist Pathet Lao movement launched an armed struggle against the constitutional monarchy, plunging the country into a decade of civil war and partition. Lao prose fiction dates back only

as far as the 1960s. Some writers aimed simply to entertain, while others were influenced by the spread of socially conscious literature in neighboring Thailand, and used fiction to criticize the corruption and moral decadence of the government. In areas of the country that were under the control of the Pathet Lao, revolutionary literature that celebrated the people's struggle against the Americans who heavily bombed the country—and the American-backed regime in Vientiane, was written under Party guidelines. After the Pathet Lao emerged victorious in 1975, Lao writers, like those in Vietnam, were expected to glorify the successful revolutionary struggle. In the late 1980s Laos, like Vietnam, saw the introduction of a liberalizing policy, the “New Imagination,” which—within unwritten limits—permitted Lao writers to make constructive criticisms of government policy.

SEE ALSO: Historical Novel, Ideology, National Literature.

BIBLIOGRAPHY

- Kratz, E.U., ed. (1996), *Southeast Asian Languages and Literatures*.
 Lafont, P.-B. and D. Lombard, eds. (1974), *Littératures contemporaines de l'Asie du sud-est*.
 Smyth, D., ed. (2000), *Canon in Southeast Asian Literatures*.
 Smyth, D., ed. (2009), *Southeast Asian Writers*.
 Tham Seong Chee, ed. (1981), *Literature and Society in Southeast Asia*.

Southeastern Europe

TATJANA ALEKSIĆ

Southeastern Europe is better known as the Balkans, although this name has historically been problematized and often acquired negative connotations. Maria Todorova's

seminal study on the Balkans, *Imagining the Balkans* (1997), has, for example, analyzed both the category itself and the various negative connotations assigned to the region. The region is imagined as a more or less compact entity due to historical developments that marked it, primarily the Ottoman colonization, but also the many episodes of turbulent history since the formation of modern nation-states. Cultural development in the region that has, for the most part, been a polygon of conflicts for the world powers, has suffered a certain dose of “belatedness” relative to European mainstream influences, as Gregory Jusdanis controversially claims about modern Greek culture in *Belated Modernity and Aesthetic Culture* (1991). Most importantly, culture in the Balkans has rarely had the luxury of avoiding the grip of history and evolving with independent aesthetic attributes. The few periods of relatively unhindered literary and cultural developments created a sense of time compression that sometimes prevented literary styles that had almost run parallel courses from maturing to their full distinction.

With many nation-states comprising the region, the number of which has multiplied since the breakup of Yugoslavia in 1991, an attempt to give a general overview of the development of the novel seems an almost impossible task. There have been many arguments for and against the Serbo-Croatian linguistic designation, as well as attempts by nationalist linguists to emphasize the differences between Serbian and Croatian languages (see NATIONAL, REGIONAL). This entry will not emphasize the question of language, but will instead focus on both Yugoslav and post-Yugoslav literatures. In terms of its temporal arc, this discussion will be delineated by the appearance of the first modernist and avant-garde novels. The overview begins with the innovations in the field of poetics, language, and the subject of the novel,

followed by early attempts to dismantle the genre altogether. Geographically, it is concerned with what for most of the twentieth century existed as the Yugoslav cultural space, Greece, and to a certain extent Bulgaria. Finally, this typology follows certain historical frameworks.

FIRST MODERNIST NOVELS

Symbolism that spills over from the nineteenth century transfers to prose some of the key tenets of MODERNISM, primarily the interest in the individual psyche and its subjective vision of the world. One of its important representatives in Greek fiction is Konstandinos Hatzopoulos, with *O pyrgos tou akropotamou* (1909, *The Manor by the Riverside*). Milutin Cihlar Nehajev introduces the character novel *Bijeg* (1909, *Escape*) to the Croatian public, the text not generated by external events but entirely situated within the psyche of the main protagonist. The year 1910 marks the appearance of the first truly modern Serbian novel, *Nečista krv* (*Bad Blood*) by Borisav Stanković, which breaks with the mimetic prose of the nineteenth century and instead introduces the symbolic style in which local folklore and tradition become a background for passionate love dramas and family tragedies.

The contrast between the city and the country emerges in the work of some writers in the form of folkloric realism or idealization of the country, its people, and their morals, while with others it leads to the creation of the first urban novels. Milutin Uskoković's *Čedomir Ilić* (1914) makes a statement on the alienation and psychological decay in the emerging Serbian bourgeois culture that became decadent even before fully maturing. His *Došljaci* (1909, *Newcomers*) explores the common subject of the time in the Balkans—the difficulties and moral qualms of the peasants newly arrived

in the fledgling city. But the text also uncovers many poetic aspects of the new urban environment, presenting Belgrade as the true capital of Serbian culture of the time. Rapidly mutating social setting is the subject of Konstandinos Theotokis's novel *Oi sklavoï sta desma tous* (1922, *Slaves in Their Chains*), while others include Andreas Karakavitsas, Grigorios Xenopoulos, and Ioannis Kondylakis. However, perhaps the most radical representation of this schizophrenic condition on the societal level is Janko Polić Kamov's *Isušena kaljuža* (1909, pub. 1957, *Dried Swamp*). In this novel, social critique takes the form of exposing a whole spectrum of immorality, perversions, and absurdity—a veritable bestiary of the repressed psyche of the Croatian bourgeoisie. Ksaver Šandor Đalski establishes the tradition of the Croatian political novel with *U noći* (1913, *In the Night*). The champion of Slovenian independence, Ivan Cankar, published his social novels *Na klanecu* (*On the Hill*) and *Hiša Marije Pomočnice* (*The Ward of Our Lady of Mercy*) in 1902 and 1904, respectively. In Bulgaria, the authors scathingly critical of the Sofya urban environment are Anton Strashimirov, with *Esenni dni* (1902, *Autumn Days*), and Georgi Stamatov.

THE INTERWAR NOVEL: WAR, SOCIAL REALISM, AND PSYCHOANALYSIS

The end of the Balkan Wars (1912–13 and 1913, respectively) and WWI saw the collapse of the two former empires occupying most of the peninsula and the emergence of new independent states. Croatia gained independence from Austro-Hungarian dominance and joined the Kingdom of Slovenes, Croats, and Serbs in 1918, the precursor of Yugoslavia. However, while the period 1941–91 in the cultures of Serbs and Croats is generally treated as the period of Yugoslav

literary production, the two literatures still figure as separate entities in the interwar period. Since the breakup of the country, revisionist literary history tends to separate the authors on the basis of their nationality. This approach creates difficulty due to the fact that the majority of authors disregarded ethnic boundaries and many authors are appropriated by two, or even three, national traditions (e.g., Ivo Andrić is claimed by the Bosnian as well as the Serbian and Croatian traditions). A pivotal event in Greek history of the period was the 1922 collapse of the Megali Idea (the Great Idea) of the “liberation” of former Byzantine territories occupied by the Ottomans since 1453, resulting in the war and “population exchange” of over a million Orthodox and Muslim refugees between Greece and Turkey.

Writing in the interwar period is influenced by European modernism, and the themes that dominate the novel are those of the “lost generation” of modernists everywhere. The dissatisfaction with the order of the world is transferred onto the subjective sphere, which in the language of fiction translates into experimentation with the genre and language, as well as genuine attempts to deconstruct the novel.

Isidora Sekulić is one of very few Serbian women writers of the period whose work is considered to inhabit the space outside “trivial literature,” with her *Đakon Bogorodičine crkve* (1919, *The Novice of Notre Dame*). Influenced by Zenithism, the only authentic avant-garde movement in the Balkans, new voices in Serbian prose attempted to deconstruct or completely annihilate the genre of the novel with their “anti-novels”: *77 samoubica* (1923, *77 Suicides*) by Ve Poljanski and *Koren vida* (1928, *The Root of Vision*) and *Bez mere* (1928, *Without Measure*) by the surrealists Aleksandar Vučo and Marko Ristić, respectively.

The experience of war lies at the core of the interwar novel. *Dnevnik o Čarnojeviću* (1921, *The Diary about Čarnojević*), by Miloš Crnjanski, and *Dan šesti* (1932, *Day Six*), by Rastko Petrović, are considered the greatest achievements of Serbian interwar novelistic prose, written in innovative technique and grounded in the new philosophical and psychological trends, where the war represents the background for individual interrogations. Best known for the first part of his historical saga *Seobe* (1929, *Migrations*), it is in *Dnevnik* that Crnjanski achieves his highest lyrical expression in the form of fragmentary meditations. In *Dan šesti* Petrović depicts the unimaginable moral deterioration of human character in wartime that he witnessed firsthand. In Bulgaria the effects of war are covered in Yordan Yovkov's masterpiece, *Zemlyatsi* (1915, *Countrymen*), and in Greece in Stratis Myrivilis's gripping and meditative *I zoi en tafo* (1924, *Life in the Tomb*). Ilias Venezis, in *To noumero 31328* (1924, *Number 31328*), like Stratis Doukas in *Istoria enos aihmalotou* (1929, *A Prisoner of War's Story*), presents a semibiographical account of the situation of Anatolian Greeks in the months following the 1922 Disaster. Croatian literature of the period offers few direct reactions to the war, possibly because the Croatian nation's experience of WWI differed so much from that of the other Balkan states. Instead, we should note a few pieces of prose expressionism: the existential-psychological drama *Sablasti* (1917, *Ghosts*), by Ulderiko Donadini, and the visually rich dream-fantasy *Lunar* (1921), by Josip Kulundžić.

The interwar period in Greece is most emphatically marked by the "generation of the 1930s," or the true Greek avant-garde. Although Yorgos Theotokas called for a break with the past and the creation of a new type of fiction in his "manifesto" *Elefthero pnevma* (1929, *Free Spirit*), the

"generation of the 30s" is much better known for its poetry than prose. Three distinctive thematic divisions are recognizable: the "Aeolian School" of the writers concerned with the war, the new "urban realism," and "School of Thessaloniki" antirealist modernism (Beaton, 1988). Kosmas Politis's *Lemonodasos* (1930, *Lemon Grove*) and Angelos Terzakis's *Desmotes* (1932, *Prisoners*) belong to the urban category. Most of their texts deal with the deprivations of the proletarian classes and the immorality of the bourgeoisie, as well as the burgeoning leftist sentiment.

Social thematic, or "social realism," on the Serbo-Croatian scene produces a new type of literary hero, a member of the deprived Croatian social classes, in the novels of Vjekoslav Majer, or in the texts of leftist inclination, such as August Cesarec's *Careva kraljevina* (1925, *Emperor's Kingdom*). Ivan Dončević and the rare woman novelist Fedy Martinčić also belong to this circle. *Krv majke zemlje* (1935, *Mother Earth's Blood*) by Antun Bonifačić is of interest as the first Croatian novel employing metafictional documentation. Among Serbian novels of the urban/social thematic the three dominant ones are Anđelko Krstić's *Trajan* (1932), Branimir Ćosić's *Pokošeno polje* (1933, *Reaped Field*), and the joint work of Dušan Matić and Aleksandar Vučo, *Gluho doba* (1940, *Deaf Times*).

The writing of the antirealist modernists is primarily concerned with the psychological reflection of the dysfunctional world perceived as a spectrum of disorders, hallucinations, and nightmares. In Greece the most successful modernist experiments are Yannis Skarimbas's *To solo tou Figaro* (1938, *Figaro's Solo*), Politis's *Eroica* (1937), Nikos Gavrii Pentzikis's *O pethamenos kai i anastasi* (1938, *The Dead Man and the Resurrection*), and Melpo Axioti's *Thelete na horepsoume Maria?* (1940, *Would You Like to Dance, Maria?*). Miroslav Krleža,

one of the foremost Croatian writers and an advocate of nonideological literature, produced his psychological masterpiece, *Povratak Filipa Latinovića* (*The Return of Filip Latinovitz*), in 1932, his sociopsychological drama *Na rubu pameti* (*On the Edge of Reason*) in 1938, and his *Banquet u Blitvi* (*Banquet in Blitva*), tackling anarchism and terrorism, in 1939. *Španski zid* (1930, Spanish Wall), by Rade Drainac, and *Grozdanin kikot* (1927, Grozdana's giggle), by Hamza Humo, belong to this category of Serbian prewar literature. Strashimirov's *Robi* (1930, Slaves) is a Bulgarian work of this kind.

THE POSTWAR NOVEL: (SOCIALIST) REALISM

The fifteen years after WWII are characterized by a recurrence of realist fiction, even produced by writers of radically different positions in the previous decade. However, the first novels published in both Yugoslavia and Greece are historical: Ivo Andrić's *Na Drini ćuprija* (1945, *The Bridge on the Drina*), which won the Nobel Prize for literature in 1961, and Nikos Kazantzakis's *Vios Kai Politeia Tou Alexi Zorba* (1946, *The Life and Times of Alexis Zorbas*). Their early prose carries a distinct epic quality with a local flavor, as Andrić writes about Bosnia in his other historical piece, *Travnička hronika* (1945, *The Bosnian Chronicle*), and Kazantzakis praises the untameable Cretan spirit in *O kapetan Mihalis* (1950, *Freedom or Death*). Kazantzakis departs from historical existentialism and metaphysics with the controversial *O teleftaios peirasmos* (1951, *The Last Temptation of Christ*), a novel that led to his excommunication from the Orthodox Church, while Martin Scorsese's 1988 film based on the novel was banned in cinemas around the world. Bulgarian novelists of the period likewise show a strong interest in historical subjects. The most

notable are Stoian Zagorchinov, with *Praznik v Boiana* (1950, *Feast in Boiana*), and Dimitür Talev, whose tetralogy *Samuil* (1952–66) fictionalizes the Bulgarian struggle for independence from the Ottomans, and then from Greeks and Serbs in the Balkan Wars.

The postwar communist regimes of Yugoslavia and Bulgaria promoted "socialist realism" as the official cultural politics, a monumental genre devoid of aesthetic and literary values that insisted on concrete issues, a collective spirit, and the self-sacrifice of the individual for the creation of a socialist utopia. In the period immediately after WWII its main conceptual opponent was modernism, emphatically condemned by the cultural establishment as self-indulgent, antisocial, and morbid. Censorship was rife and undermined "suspicious" literary activity at its roots. Bulgarian Dimitr Dimov created his best work, *Osüdeni dushi* (1945, *Damned Souls*), about the Spanish Civil War, but had to rewrite *Tiutiun* (1951, 1954, *Tobacco*) in order to get it published. Dobrica Ćosić, president of the fragmented Yugoslavia in 1992–93, wrote *Daleko je sunce* (1951, *Distant Is the Sun*) in the socialist-realist style, while in subsequent voluminous sagas he records a history of Serbia after WWI. Mihajlo Lalić depicts the psychological effects of war on people in his partisan story *Lelejska gora* (1957, *The Wailing Mountain*), while Vitomil Zupan departs from socialist-realist dogmatism in his vision of WWII, *Menuet za kitaro* (1957, *Minuet for the Guitar*). Notable novels not written in the socialist idiom are Vjekoslav Kaleb's social critique *Ponižene ulice* (1950, *Humiliated Streets*) and Vladan Desnica's stream-of-consciousness *Proljeća Ivana Galeba* (1957, *The Springs of Ivan Galeb*).

Recurrence of realism in Greece was brought about by the civil war between pro-communist and right-wing forces in 1946–49 and the reemergence of censorship.

Some of the finest novels of the period avoid the bleak political present through escapism into the 1930s: *Contre-Temps* (1947) by Mimika Kranaki, *O kitrinos fakelos* (1956, The Yellow File) by Mitia Karagatsis, and Terzakis's *Dihos theo* (1951, Without a God).

A coming-to-terms with the wars and the split in the Greek society was attempted through the renewal of folkloric realism and a historical novel that looks into the more distant past: Dido Sotiriou's *Matomena homata* (Farewell Anatolia), Politis's *Stou Hatzifrangou* (In the Hatzifrangou Quarter), and Kostas Tachtsis's *To trito stefani* (The Third Wedding Wreath), all published in 1962, return to the events of the 1922 Anatolian disaster. A certain amount of experimentation was again possible in the 1960s, before Greece lapsed into yet another episode of totalitarianism, with the dictatorship of the Colonels in 1967–74. Tatiana Gritsi-Millieux's *Kai idou ippos hloros* (1963, Behold a Pale Horse) and Stratis Tsirkas's trilogy *Akyvernites politeies* (1962–65, Drifting Cities) are good examples of such writing.

TOWARD THE POSTMODERN

In the 1960s and 1970s Yugoslavia underwent a significant period of liberalization. Meša Selimović created the existentialist *Derviš i smrt* (1966, *The Dervish and the Death*), Bora Ćosić his subversive *Uloga moje porodice u svetskoj revoluciji* (1969, *The Role of My Family in the World Revolution*), and Ranko Marinković the intertextual antiwar *Kiklop* (1966, *Cyclops*). Crnjanski, returning from exile in London, wrote his most important novels *Druga knjiga Seoba* (1962, *The Second Book of Migrations*) and *Roman o Londonu* (1972, *A Novel about London*). However, a new wave of realist prose brought to the surface a brutal metropolitan reality and socially undesirable phenomena: urban poverty, criminal

underground activity, emigration, prostitution, alcoholism, and other social ills, as well as the subject of marginal groups that otherwise would remain off the radar for the majority of the population. Dragoslav Mihailović's *Kad su cvetale tikve* (1968, *When Pumpkins Blossomed*)—criticized for a contextual mention of the Goli Otok labor camp, where the author had been detained—Vitomil Zupan's *Leviathan* (1982), and Živojin Pavlović's *Zadah tela* (1982, *Body Stench*). Simultaneously, a different faction of realism directed its interests toward the taboo topic of crimes committed during WWII, the writing that became possible only in the next decade, such as Miodrag Bulatović's *Ljudi sa četiri prsta* (1975, *People with Four Fingers*).

Yet arguably the most influential fiction of the period was produced by the group whose writing anticipates postmodernist methods in Yugoslav literature, exerting an indelible influence on future generations of writers. The group includes Borislav Pekić, whose novels include *Kako upokojiti vampira* (1977, *How to Quiet a Vampire*), in which he traces the path of Western rationalism that leads to Nazism, and the 1981 science-fiction trilogy *Besnilo* (Rabies), *Atlantida* (Atlantis), and *1999*. To this group also belong Danilo Kiš, with his "Family Circus" trilogy, especially *Peščanik* (1972, *Hourglass*), and Mirko Kovač. Kiš's take on Stalinist totalitarianism, *Grobnica za Borisa Davidoviča* (1976, *A Tomb for Boris Davidovich*), is the best-known victim of the renewed process of regime control of the artistic freedoms in Yugoslavia following the 1971 Croatian nationalist revival movement, forcing the author into self-imposed exile. The local variant of the so-called "jeans prose" deserves a mention as a generational, if not exactly anti-establishment, revolt during the 1970s: Alojz Majetić with *Čangij off gotoff* (1970) and Zvonimir Majdak in *Kužiš, stari moj* (1970, *Got It, Old Man*).

In contrast to the isolation of postmodern literature since its introduction by Kiš and Pekić, the mid-1980s witnessed its enthusiastic embrace by cultural elites and broad audiences. The tremendous rise in popularity of postmodern literature following Milorad Pavić's international success with *Hazarski rečnik* (1984, *Dictionary of the Khazars*) manifests the postmodern paradox in the fragmenting Yugoslavia: the appropriation of the postmodern by writers whose orientation had a distinctly populist dimension as well as those whose writing resisted the prevalent nationalist mono-narrative. While the former approached history in a constructive manner, the efforts of the latter were directed at its subversion or parody: Svetislav Basara's *Fama o biciklistima* (1987, *The Cyclist Conspiracy*), Dragan Velikić's *Astragan* (1991), Radoslav Petković's *Sudbina i komentari* (1993, *Destiny and Comments*), Dubravka Ugrešić's *Muzej bezuvjetne predaje* (1996, *Museum of Unconditional Surrender*), David Albahari's *Mamac* (1996, *Bait*), Judita Šalgo's *Put u Birobidžan* (posthumous, 1996, *Trip to Birobidžan*), and Mirjana Novaković's *Strah i njegov sluga* (2005, *Fear and Its Servant*).

The break with realism in Greek fiction, starting in the early 1960s, continued with a series of narratives that parody the mounting political tensions by transferring the Greek situation to a fantastic location. The Aesopian language of these novels only vaguely conceals the irony pervading Vasilis Vassilikos's 1961 trilogy, or Andonis Samarakis's prophetic *To Lathos* (1965, *The Flaw*), a text that anticipates the seizing of power by the junta. Yorgos Heimonas goes even further in *Oi htistes* (1979, *The Builders*), which dispenses altogether with a familiar Western setting or the language itself. Similar displacement is present in the Bulgarian Yordan Radichkov, who combines folkloric fantasy, parody, and the grotesque: *Vsichki i nikoi* (1975, All

and Nobody) and *Noev kovcheg* (1988, Noah's Ark).

Rather than rendering the past through fictional testimonies like previous generations of writers, Greek post-dictatorship narratives catalyze the events through the protagonists who then interpret them (Beaton, 1994, 283–95). Aris Alexandrou writes about the civil war in *To kivotio* (1974, *The Box*), while *I arhaia skouria* (1979, *Fool's Gold*) by Maro Douka and *I Cassandra kai o lykos* (1977, *Cassandra and the Wolf*) by Margarita Karapanou portray the Athens University massacre that preceded the fall of the dictatorship. The tendency throughout the 1980s was still the genre's deep involvement with history, as in Alki Zei's *I arravoniastikia tou Ahillea* (1987, *Achilles Fiancée*), and identity, both interrogated in relation to Greece's European present, as in Eugenia Fakinou's *To evdomo rouho* (1983, *The Seventh Garment*) or Rhea Galanaki's *O vios tou Ismail Ferik Pasha* (1989, *The Life of Ismail Ferik-Pasha*). Other writers employing metafictional documentation are Thanassis Valtinos, Thomas Skassis, and Pavlina Pampoudi.

THE NEW MILLENNIUM INTERNATIONAL NOVEL

Greece is increasingly seen as a safe haven from economic problems or political oppression, while Greeks themselves are now free to travel and explore the world. This two-way cultural exchange is frequently reflected in the new pattern of "centrifugal" literature that depicts the contact of the Greeks with the Other, both in and out of Greece (Tziovas, in Mackridge and Yannakakis). Sotiris Dimitriou's *N'akouo kalat'onoma sou* (1993, *May Your Name Be Blessed*) re-creates the oral mode of storytelling and plays out the tensions between Greeks and Albanian workers, while in Amanda Michalopoulou's *Oses fores antexeis*

(1998, *As Many Times as You Can Stand It*) a Greek goes on a love quest to Prague. Travel adventures and international themes abound in texts by Alexis Panselinos, Theodoros Grigoriadis, Alexis Stamatias, and Ioanna Karystiani.

A very similar tendency is visible in the post-Yugoslav novel, where after the crippling wars the newly independent states re-invented their former cultural affinities. Many new names in post-Yugoslav fiction still deal with the recent events, although the general tendency is extrovert, explorative, and unashamed of taboo subjects. Of particular interest are *U potpalublju* (1996, *In the Hold*) by Vladimir Arsenijević, and *Zimski dnevnik* (1995, Winter Journal), the novel by Srđan Valjarević that holds cult status in Serbia, as well as a novel on Belgrade nightlife by Barbi Marković. Zoran Živković belongs to a separate category with his much-translated science-fiction novels, as does the Bulgarian Evgeni Kuzmanov. Georgi Gospodinov was likewise internationally successful with *Estestven roman* (Natural Novel), while Teodora Dimova registers the post-socialist moral collapse in *Maikite* (Mothers), both 2005. On the Bosnian, Slovenian, and Croatian scene new texts continue to arrive from Ivančica Đerić, Aleksandar Hemon, Miljenko Jergović, Drago Jančar, Boris Dežulović, and the ever-controversial Vedrana Rudan.

BIBLIOGRAPHY

- Beaton, R., ed. (1988), *Greek Novel AD 1–1985*.
 Beaton, R. (1994), *Introduction to Modern Greek Literature*.
 Cooper, H.R., ed. (2003), *Bilingual Anthology of Slovene Literature*.
 Korać, S. (1974), *Hrvatski roman između dva rata*.
 Korać, S. (1982), *Srpski roman između dva rata*.
 Mackridge, P. and E. Yannakakis, eds. (2004), *Contemporary Greek Fiction in a United Europe*.
 Nemeč, K. (1998), *Povijest hrvatskog romana*.
 Palavestra, P. (1986), *Istorija moderne srpske književnosti*.

- Petković, N. (1995), *History of Serbian Culture*.
 Šicel, M. (1982), *Hrvatska književnost*.
 Tonnet, H. (1996), *Histoire du roman grec*.

Southern Africa

ANDREW VAN DER VLIES

The concerns and form of the novel in southern Africa have been determined largely by the region's cultural and social politics: for autochthonous communities as for settlers (mostly from Europe), writing served to mediate experiences of modernity, alienation, and ideological interpellation. Permanent European settlement began with the establishment by the Dutch East India Company of a refreshment station at the Cape of Good Hope in 1652; the diary of the settlement's first commander, Jan van Riebeeck, is often cited as the progenitor of an Afrikaans literary tradition in South Africa. Little creative writing was produced until the early nineteenth century, by which time the erstwhile Dutch settlement had expanded and come under British control (1795–1802, and from 1806): South Africa achieved measures of independence in 1910 and 1930, and became a white minority-ruled republic in 1961 and a multiracial democracy in 1994. Elsewhere in the region, British, Portuguese, and German colonial expansion ensured that the whole of southern Africa was directly or indirectly ruled by European powers, or by self-governing minorities of European descent, by the early twentieth century.

During the nineteenth century, southern Africa attracted ethnographers, scientists, and missionaries. The latter may be credited with the spread of printing and literacy and the development of orthographies for several African languages. Mission education altered belief systems and patterns of behavior amongst indigenous communities but also facilitated access to print technologies

and networks of distribution, encouraging the growth of African elites who would spur the activities of anticolonial liberation movements in the twentieth century. Furthermore, literary genres encouraged by mission presses—including narratives of conversion or self-improvement—provided the basis for early black literary prose. Inevitably, however, the model for the novel in southern Africa has been a European one.

The novel, with its investments in post-Enlightenment conceptions of interiority and progress and its assumptions about leisure and the value of reading, offered diverging opportunities for authors to stake claims on local and global identifications, involving negotiations of European and African identities—invariably against the backdrop of actual dispossession for autochthonous communities. In relation to South Africa, Rita Barnard suggests that contests over physical and imaginary geographies continue to structure psychological and social experience in a country whose history is marked by successive attempts to regulate access to space on the basis of race and ethnicity. J. M. Coetzee's seminal *White Writing* dissected the legacies of European metaphysics and epistemologies in South Africa's culture of letters; Barnard cites atopia, utopia, dystopia, and the pastoral as among the most enduring imagined tropes still haunting its literary imagination. A similar argument might be made for the whole of southern Africa. Critics (including Van der Vlies) draw attention to the transnational nature of the region's literary cultures: authors looked to European and North American models of the novel, and construed metropolitan publication as cultural validation. Many also found most of their readers abroad until the end of the twentieth century. Conflicting expectations of the novel—as high art or popular entertainment, as realistic representation of social conditions or contribution to a global

literary field—continue to mark novelistic output from southern Africa in content, form, and in relation to the sites of publication and reception. Recent history, and unsettled narratives of cultural identity in the present, pose problems for literary historiography.

THE NOVEL IN SOUTH AFRICA

Anglophone novels

Most white English-speaking residents of the Cape Colony in the early nineteenth century read whatever arrived on the latest ship from England. By the 1870s, however, colonial romances and adventure narratives appeared as the number of settlers increased after the discovery of diamonds (1867) and gold (1886) in the interior. The imperial romance, Laura Chrisman argues, both articulates and works through the “socioeconomic contradictions brought on” by the ensuing capitalization of southern Africa (6). The expansion of capitalism and its attendant class tensions, migrations to the interior, and the displacement of black communities provided fit material for novelistic treatment, although most writing traded in stereotype and cliché: faithful native retainers and pets, as in J. Percy FitzPatrick's *Jock of the Bushveld* (1907); wise white masters; Western medicine triumphing over local superstition; the discovery of fertile land represented as having been misused by the natives. Plots often relied on accident, inheritance, and fortuitous discovery. The Anglo-Boer War (1899–1902) provided a backdrop for much adventure writing, like Ernest Glanville's *The Despatch Rider* (1901). Glanville, author of twenty novels, and Bertram Mitford, who wrote forty-five, were among the most prolific authors of imperial romance.

More critically interesting writing evidences a late nineteenth-century imperial

discourse fusing a rhetoric of utilitarianism and belief in the value of modernization, with that of mysticism, chivalry, and romantic primitivism. Such impulses are especially evident in Henry Rider Haggard's *King Solomon's Mines* (1885) and *She* (1887), which draw on quest and rite-of-passage narratives, mystical motifs, and social Darwinism. Some critics trace to this strain of colonial adventure the writing of currently popular novelists like Zambian-born Wilbur Smith, author of international bestsellers like *When the Lion Feeds* (1964), whose work Michael Chapman characterizes as offering "endless safaris and seductions, big game, game women, an Africa where the approved politics are thoroughly conservative" (131).

It was against this widespread mode of adventure writing that what is arguably the region's first significant novel, written by a governess of German and English missionary parentage, was conceived. Olive Schreiner's *The Story of an African Farm* was published in London in two volumes by Chapman & Hall in Jan. 1883. Schreiner used the pseudonym "Ralph Iron," gesturing toward the influence of transcendentalist writing on her (characters in the novel are named Waldo and Em) and her desire not to have her work read as a simpering colonial romance for female patrons of the circulating libraries. With its "New Woman" character, Lyndall, Schreiner's novel was controversial; it remains a key reference point for Anglophone South African writing, particularly for its engagement with the pastoral, its generic inventiveness, and its negotiation of the twin demands of verisimilitude and the imagination. This negotiation, of demands that might be termed those of history and of the aesthetic, prefigures the agenda for the novel in South Africa in the ensuing century. Other novels by Schreiner are the parable-like *Trooper Peter Halket of Masho-*

naland (1897) and two published posthumously: *From Man to Man* (1926) and *Undine* (1929).

Douglas Blackburn, a British immigrant on the Witwatersrand when gold mining was transforming the proto-Afrikaner Transvaal republic into a site of contestation in the new capitalist economy, also produced important early novels, including *A Burgher Quixote* (1903), in which a principled narrator comments on corruption in a deadpan manner, and *Leaven* (1908), perhaps the first important depiction of the effects of urbanization on rural black African society. This "Jim-comes-to-the-city" (specifically Johannesburg) trope would be explored most famously in English in Peter Abrahams's *Mine Boy* (1946) and Alan Paton's *Cry, the Beloved Country* (1948).

Land and language rights, cultural autonomy, race, and citizenship in a modern state (after 1910) within the British Empire—but with multiple cultures and traditions—form the overwhelming concerns of the early twentieth-century novel in South Africa. *Mhudi*, subtitled an "epic of South African native life a hundred years ago," by Solomon T. Plaatje, a mission-educated man of letters, newspaper proprietor, and politician, uses the story of a young Barolong couple in the 1830s to explore the roots of the post-Union dispossession of black South Africans by the Natives Land Act (1913), which reserved less than ten percent of the country for black ownership, in the incursions of the proto-Afrikaner *Voortrekkers* (migrant farmers) into central South Africa, and the contemporaneous migration of black African communities, known as the *mfecane* (occasioned by the expansion of the Zulu kingdom under Chaka).

The issue of race, whether in the form of tensions between English- and Afrikaans-speaking whites or the so-called "question" of the "native" population's rights, dominated much literary production. Sarah

Gertrude Millin's *God's Step-children* (1924), an indictment of miscegenation that plays on the "black peril" trope, became internationally known; it remains a point of reference for novels revisiting the hybrid nature of South African national identity. William Plomer, who left South Africa permanently in 1929, offered a scathing response to such conservative racialist discourse in his first—and only expressly South African—novel, *Turbott Wolfe* (1926), a first-person account by the dying eponymous narrator of his experiences in a thinly disguised Zululand.

Notable liberal realist novels in English, interrogating this dilemma to greater or lesser effect, include Laurens van der Post's *In a Province* (1934) and Jack Cope's *The Road to Ysterberg* (1959), although the most famous is undoubtedly Paton's internationally successful *Cry, the Beloved Country*. Imbued with a belief in humane cooperation and gradual amelioration (which struck critics as outdated paternalism), Paton's novel was received as a parable seeking to awaken South Africa's white population to their complicity in injustice, but also as a universal narrative of courage in adversity; its nonrevolutionary message resonated with white Cold War-era American readers. Its publication coincided, too, with the election victory of an Afrikaner nationalist party, which, under Prime Ministers D. F. Malan and H. F. Verwoerd, implemented the policy of apartheid (literally, separateness). The message of Paton's novel thus seemed immediately dated to many black readers. With the recognition of the hollowness of much white liberal rhetoric, the English novel in South Africa persisted in something of a crisis. Simon Gikandi suggests that Nadine Gordimer's *The Late Bourgeois World* (1966) is perhaps "the exemplary work of the liberal dilemma," its "rhetoric of failure" exposing a "failure of the liberal project that the novel,

nevertheless, espouses" (in S. Gikandi, ed., 2003, *Encyclopedia of African Literature*, 515). Gordimer, South Africa's first Nobel laureate for literature (in 1991), established herself as the apartheid era's most important—and most sophisticated—novelistic chronicler, with an impressive catalogue also including *A World of Strangers* (1958), *The Conservationist* (1974, joint winner of the Booker Prize), *Burger's Daughter* (1979), and *July's People* (1981). She refused to exile herself and believed it was, as she put it in a 1984 essay, "The Essential Gesture," "the white writer's task as 'cultural worker' . . . to raise the consciousness of white people, who, unlike himself, have not woken up" (in S. Clingman, ed., 1988, *The Essential Gesture*, 293–94). Gordimer offered a sustained response to the country's politics through a blend of LUKÁCSIAN critical realism and elements of late modernist narration (often with implicated first-person narrators, and fractured, free-indirect discourse). She has continued to explore the complicated texture of post-apartheid life in recent work, including *The House Gun* (1998) and *The Pickup* (2001).

Black writers also experimented with critical realism. Most significant is Alex La Guma, whose novels appeared from publishers abroad and were banned inside South Africa. *And a Threefold Cord* (1964) is exemplary of his method: evoking a studied naturalism, it offers detailed descriptions of deprivation in a Cape Town shantytown, inviting readers to perceive the injustices suffered by characters who themselves only gradually identify their plight as political. Other novels include *The Stone Country* (1968) and *In the Fog of the Seasons' End* (1972). La Guma was one of the few novelists whom critic Lewis Nkosi was prepared to exclude from a charge—in his essay "Fiction by Black South Africans" (1966)—that the subservience of aesthetic

form to the protest message had too often resulted in “journalistic fact parading outrageously as imaginative literature” (in U. Beier, ed., 1967, *Introduction to African Literature*, 212). Another might well, in due course, have been Bessie Head, whose complex work, including the novels *Maru* (1971) and *A Question of Power* (1973), has become more closely associated with Botswana, where she lived in exile from South Africa. Later “protest” writing included Miriam Tlali’s *Amandla!* (1981), Mongane Wally Serote’s *To Every Birth Its Blood* (1981), and Sipho Sepamla’s *A Ride on the Whirlwind* (1981), which deal with the aftermath of the Soweto uprising of 1976. Tlali’s semiautobiographical *Muriel at Metropolitan* (1975) is concerned with the everyday, exemplifying critic and novelist Njabulo Ndebele’s suggestion that the “insensitivity, insincerity and delusion” of much protest writing should be superseded by a “rediscovery of the ordinary” (50) in which apartheid’s spectacular narratives were eschewed and its effective authorship of every narrative of life in the country refused.

In an address at a book fair in Cape Town (1988, “The Novel Today,” *Upstream* 6(1)), Coetzee spoke to a similar concern, arguing against what he called his historical moment’s “powerful tendency . . . to subsume the novel under history.” History, Coetzee countered, was “not reality,” but “a kind of discourse”; the novel did not need to answer to the dominant historical narrative. He had faced charges that his novels engaged insufficiently with the realities of his historical moment: his first, *Dusklands* (1974), offered twin narratives set in contemporary California and eighteenth-century South Africa; his second, *In the Heart of the Country* (1977), is a highly unreliable narrative by a woman in an apparently colonial-era setting. But his body of work is regarded by many as unparalleled in its ethical seriousness

(Attwell). *Waiting for the Barbarians* (1980), a sophisticated allegory pushing the limits of the form, responds to questions of torture and complicity in the South African context. *Life & Times of Michael K* (1983) won Coetzee his first Booker Prize; the second followed for *Disgrace* (1999), a controversial narrative set in post-apartheid South Africa. *Foe* (1986) offered a rewriting of Daniel Defoe’s *Robinson Crusoe* (1719–22) and *Roxana* (1724), addressing issues of authority and the canon; *The Master of Petersburg* (1994) returned to similar issues. *Age of Iron* (1990) offered a self-reflexive and highly mediated meditation on ethics, writing, and the humanities in a time of political crisis. Coetzee has published three fictionalized memoirs: *Boyhood* (1997), *Youth* (2002), and *Summertime* (2009). Each, and especially the last, tests expectations of truth and fiction in autobiography, and they are sold in some markets as novels. Coetzee won the 2003 Nobel Prize for literature.

The work of several Anglophone novelists bridges the transition to democracy in South Africa. Damon Galgut’s *The Beautiful Screaming of Pigs* (1991, rev. 2005) was well received, and *The Good Doctor* (2003) and *The Imposter* (2008) shortlisted for international and local prizes. Mike Nicol, known locally for novels like *The Powers That Be* (1989), expanded his audience with *The Ibis Tapestry* (1998), a postmodern thriller set in late apartheid South Africa. He has followed this success with detective fiction, including *Payback* (2008), the first of a contracted trilogy signaling his likely international success in a lucrative popular field. Lawyer Andrew Brown’s *Coldsleep Lullaby* (2005) and academic Jane Taylor’s *Of Wild Dogs* are examples of other recently successful—but more literary—DETECTIVE NOVELS, a GENRE that seems likely to grow given the obsession shared by many South Africans with popular discourse about criminality, corruption, and violence in the postcolonial state.

Some writers whose work long reflected a felt obligation to represent the emergency in apartheid-era South Africa—like Zanemvula Kizito Gatyeni (Zakes) Mda, who established a reputation as an activist playwright during periods of exile—began publishing more inventive, less socially realistic work after 1994. Mda published *She Plays with the Darkness* and *Ways of Dying* in 1995, shortly after his return to the country, following with *The Heart of Redness* (2000), *The Madonna of Excelsior* (2002), *The Whale Caller* (2005), *Cion* (2007), and *Black Diamond* (2010). Mda's novels explore the claims of tradition and modernity in narratives that employ realism, magical realism, and satire. Anne Landsman also explored the potential of magical realism in *The Devil's Chimney* (1997).

Zoë Wicomb had only published short fiction until *David's Story* (2000), which challenges nationalist—Afrikaner and black South African—myths of gender and ethnic identity, established her as one of the most accomplished post-apartheid novelists. *Playing in the Light* (2006) is similarly concerned with race, language, memory, and writing. Wicomb's writing, in its concern with trauma and acts of witnessing, engaged with the one of the legacies of South Africa's Truth and Reconciliation Commission (TRC): the heightened profile of narrative, and a complex understanding of narrative "truth" (as opposed to forensic, or verifiable, truth). Other novels to respond to the potentialities suggested formally and thematically by the TRC include Achmat Dangor's *Bitter Fruit* (2001), Yvette Christiansë's *Unconfessed* (2006), and Njabulo Ndebele's formally experimental and politically provocative *The Cry of Winnie Mandela* (2003).

Ivan Vladislavić has produced adventurous and nuanced examinations of the late and post-apartheid urban landscape with a keen eye for the absurd, particularly in *The*

Folly (1993), in *The Restless Supermarket* (2001), and in short fiction that aspires to the novelistic, especially *The Exploded View* (2004). Other "urban" fiction, grappling with the deprivations of street children, conditions of drug abuse and prostitution, and the devastation wrought by HIV/AIDS, include the small but powerful work of Phaswane Mpe (2001, *Welcome to Our Hillbrow*) and K. Sello Duiker (2000, *Thirteen Cents*; 2001, *The Quiet Violence of Dreams*). Kgebetli Moele's *Room 207* (2006) examines the textures of everyday life in urban South Africa, particularly for young black men; *The Book of the Dead* (2009) confronts issues of sexual behavior and social responsibility—and gives a voice (literally) to HIV/AIDS. Murhandziwa Nicholas (Niq) Mhlongo also explores urban life, in *Dog Eat Dog* (2004) and *After Tears* (2007).

African-language novels

There is a relatively long and robust novelistic tradition in South Africa's African languages. The publication of Tiyo Soga's isiXhosa translation of part of *Pilgrim's Progress* (as *uHambo Lomhambi*) in 1866 is often cited as a seminal moment in the development of a vernacular South African literature. It also bespeaks the significance of mission presses (particularly the Morija Press in Maseru, Marianhill in KwaZulu-Natal, and Lovedale in Alice in the Eastern Cape) which vetted writing for compliance with Christian orthodoxy by fostering a black southern African culture of letters (Attwell). Morija published Thomas Mofolo's 1907 Bunyanesque Sesotho-language *Moeti oa Bochabela* (also *Moeti wa Botjhabela*, *The Traveller to the East*) and his masterful historical work *Chaka* (1925). The former revisits the hero-quest form and an allegory that tests as it examines the impact of Christianity on Basotho culture; Chapman suggests that *Chaka* might

equally be regarded as epic and as romance (212). Mofolo's work features in early debates about whether the written word should be used to advance African nationalism, or serve the goal of Western—for which read Christian—modernity, and whether these goals are mutually exclusive.

A seminal debate about the use of English in developing a black national identity raged in print throughout the 1930s between isiZulu poet and critic Herbert Isaac Ernest Dhlomo (1903–56) and the novelist, poet, and academic Benedict Wallet Vilakazi. The latter's *Nje nempela* (1933, Really and truly) is among the first isiZulu novels to deal with contemporary life rather than historical subjects. John Langibalele Dube, writer, educator, and politician, wrote the first novel in isiZulu with *U-Jege: Insila kaShaka* (ca. 1930, *Jege, the Bodyservant of King Shaka*). Rolfes Reginald Raymond Dhlomo contributed a series of historical novels, including on kings Dingane (1936, *UDingane*), Chaka (1937, *UShaka*), and Ceteswayo (1952, *UCetshwayo*). He also authored the 1946 “Jim-comes-to-Jo”burg”-themed *Indlela yababi* (1946, Path of the Wicked). Also in this genre are Jordan Kush Ngubane's *Uvalo lwezinhlonzi* (1956, Fear of Authority) and James Nduna Gumbi's *Baba, Ngixolele* (1966, Father, Forgive Me) and *Wayesezofika ekhaya* (1967, He Was About To Go Home), novels tracing the implications for traditional community and family structures of the apartheid South African state's industrialization and urbanization.

The theme of the return of the prodigal son is treated in Deuteronomy Bhekinkosi Zebulon Ntuli's *Ubheka* (1962, The Watcher) and the prolific Kenneth Bhengu's *Baba Ngonile* (1971, Father, I Have Sinned). Each of these novels draws on oral traditions of storytelling, and on allegory and the structure of the morality tale—the latter showing the imbrication of Christian and older codes

of ethics and morality. In Cyril Lincoln Sibusiso Nyembezi's *Inkinsela yaseMgungundlovu* (1961, *The Rich Man of Pietermaritzburg*), an urban trickster hoodwinks rural folk. Christian Themba Msimang has published a number of novels, including *Akuyiwe emhlahlweni* (1973, Let Us Consult the Diviner) and *Buzani kuMkabayi* (1982, Ask Mkabayi), as well as a 1983 monograph, *Folktale Influence on the Zulu Novel*. According to the 2001 census, isiZulu was the home language of 23.8 percent of the South African population; it is thus the most-spoken home language. Samuel Edward Krune Mqhayi is regarded as having written the first novel, *U-Samson* (1907), in isiXhosa, home language of the second-largest proportion of South Africans (17.6 percent, according to the 2001 census). Mqhayi also authored a utopian fiction, *U-Don Jadu* (1929). Guybon Bundlwana Sinxo, an important translator of European literature into isiXhosa, himself wrote *UNomsa* (1922), *Umfundisi wase-Mthuwasi* (1927, The priest of Mthuwasi), and *Umzali Wolahleko* (1933, The prodigal parent), tackling issues such as the education of children, family structure, and the politics of race as it continues to affect even black Christian converts. James Ranisi Jolobe, chiefly known as a poet, wrote several novels—including *UZagula* (1923), dealing with witchcraft, and *Elundini loThukela* (1958, On the Tugela Hills). Victoria Nombulelo Mermaid Swartbooi was a pioneering feminist writer whose 1934 novel, *U-Mandisa*, follows the career of a woman who seeks employment over marriage.

The flowering of isiXhosa prose fiction came with Archibald Campbell Jordan's celebrated *Ingqumbo Yeminyanya* (1940, *The Wrath of the Ancestors*), but the effect of so-called “Bantu” education, a policy of the apartheid government that, after 1953, deliberately impoverished the standard of education for black South Africans (who, it

was held, should be raised only to work as laborers), had a deleterious effect on literary culture. Comparatively liberal mission presses were overtaken by Afrikaans publishing houses as the centers of publishing for black education, and little interesting vernacular literature was encouraged or allowed. IsiXhosa-language writers who came to the fore in this difficult period include Enoch Fikile Gwashu, Knobel Sakhiwo Bongela, Randall Langa Peteni, and the prolific Peter Thabiso Mtuze, an academic and man of letters whose novels include *UDingezweni* (1966), *Umsinga* (1973, *A Tide*), and *Indlel' ecand' intlango* (1981, *The Road through the Wilderness*).

In Sesotho, or Southern Sotho (spoken by 7.9 percent of South Africans, and the majority language of neighboring Lesotho), writers like Bennett Makalo Khaketla (1960, *Mosali a nkholo*; *A Comforting Woman*) and Kemuel Edward Monyatsi Ntsane (ca. 1967, *Bao Batho*; *Those People*) produced novels blending sociocultural concerns with a cautious note of political protest. Kgotso Pieter David Maphalla has published numerous prizewinning and much-prescribed short stories, poems, dramas, and novels, the latter including *Nna ke mang?* (1991, *Who Am I?*) and *Ha maru a rwalellana* (2007, *The Clouds Eclipse One Another*). The academic Nhlanhla Paul Maake's novels include *Ke Phethisitse Ditaelo tsa Hao* (1994, *I Have Fulfilled Your Commands*), *Kweetsa ya Pelo ya Motho* (1995, *The Depth of the Heart of Man*), and *Mme* (1995, *Mother*).

Amongst less widely spoken languages in South Africa are Setswana (the majority language of neighboring Botswana) and Northern Sotho (or Sesotho sa Leboa, sometimes called Sepedi, though this refers to a dialect in this group), with less than 10 percent of the population as home-language speakers, and Xitsonga (Shangaan in Mozambique), SiSwati (spoken, too, in Swazi-

land), Tshivenda, and isiNdebele, with less than 5 percent. Among contemporary Setswana novelists in South Africa, Kabelo Duncan Kgatea's *Monwona wa bosupa* (2008, *The pointing finger*) features a quest narrative, elements of pan-African transnationalism, and contemporary issues such as the legal custody of children.

Afrikaans novels

The "Boer" Republics established in the interior from 1854 onward (after the migration of many "Dutch" farmers—or Boers—from the British-ruled Cape Colony in the mid-1930s) were annexed by Britain after the Anglo-Boer War. Their spoken language differed from the Dutch used in the church and courts, and assimilated vocabulary from contact with autochthonous languages and the so-called "Malay" creole of slaves from the Indian Ocean rim. A concerted movement to recognize this as a new language began in 1874 and intensified in the early twentieth century, resulting in state recognition in 1925. The developing literary culture soon included significant novels by Johannes van Melle, Mikro (pseud. of C. H. Kühn), and C. M. van den Heever, whose pastoral novels in the *plaasroman* (farm novel) tradition (see Coetzee) included *Somer* (1935, *Harvest Home*) and *Laat Vrugte* (1939, *Late Harvest*). More complex representations of life in South Africa, including the dilemmas of racial politics, came with C. J. M. Nienaber's *Keerweer* (1946, *Cul De Sac*), which J. C. Kannemeyer regards as "the only novel written at this time showing any sign of genuine innovation" (61). F. A. Venter published a tetralogy in the 1960s—including *Geknelde land* (1960, *Oppressed Land*), *Offerland* (1963, *Land of Sacrifice*), *Gelofteland* (1966, *Land of the Covenant*), and *Bedoelde land* (1968, *Intended [or Promised Land]*)—that explored Afrikaner struggles,

in particular the mythology of the Voortrekkers, implicitly expressing optimism in the future of the white-ruled state. He is better known for his “Jim-comes-to-Jo’burg” novel about the supposed perils of urbanization, *Swart pelgrim* (1952, *Dark Pilgrim*). It is worth noting that some other Afrikaans novels in this genre were written by black Afrikaans authors—including Sydney Vernon Petersen’s *As die son ondergaan* (1945, *When the sun sets*) and Arthur Fula’s *Johannie giet die beeld* (1954, *The Golden Magnet*).

Anna M. Louw published historical novels, including *Die banneling: Die lyfwag* (1964, *The Exile: The Bodyguard*) and *Die groot gryse* (1968, *The Great [or Honored] “Gray One” [or Old Man]*; it was about Transvaal president Paul Kruger) in the 1960s, but is best known for books like *Kroniek van Perdepoort* (1975, *The Chronicle of Perdepoort*), a farm novel combining allegory, satire, and symbolism in a potent mix. Wilma Stockenström, better known as a poet, also engaged with the farm novel in *Uitdraai* (1976, *Turn-off*). Elsa Joubert published important work in the 1960s and 1970s, including, most famously, a novelized version of her black female employee’s struggles (including with apartheid bureaucracy), *Die swerfjare van Poppie Nongena* (1978, *The Long Journey of Poppie Nongena*).

The 1960s saw the flowering of the “new” novel in Afrikaans, heavily indebted to existentialism, psychoanalytic theories, and the *nouveau roman*. Writers—many of whom spent time in France or the Netherlands—explored myth, deployed extensive symbolism, and were comparatively daring in representing sexuality and political dissent. Chief among this *Sestiger* (sixties) school are Jan Rabie, author of *Ons, die Afgod* (1958, *We, the Idol*), and Etienne Leroux (pseud. of S. P. D. le Roux), who is best known for the Silberstein trilogy: *Sewe Dae by die Silbersteins* (1962, *Seven Days at the Silbersteins*), recounting feckless

Henry van Eeden’s week with his fiancée’s family on a wine farm in the Western Cape, is a symbolically complex exploration of good and evil; *Een vir Azazel* (1964, *One for the Devil*) explores culpability and moral judgment, drawing on classical rhetorical patterns, detective-fiction formulae, and Greek tragedy; *Die Derde Oog* (1966, *The Third Eye*) is loosely patterned on the Hercules myth. They were published in English as *To a Dubious Salvation* (1972). The banning of Leroux’s *Magersfontein, O Magersfontein* (1976) by the apartheid censors in 1977 was a *cause célèbre*, hastening changes in the restrictive censorship regime (discussed extensively by Peter McDonald).

Another *Sestiger*, André P. Brink, is perhaps the best-known Afrikaans novelist abroad, particularly for *’n Droë Wit Seisoen* (1979, *A Dry White Season*), later filmed. Highly prolific and eclectic, Brink has experimented with surrealism, social realism, political reportage, a version of magical realism, historical romance, confessional first-person narratives, and sweeping family sagas. The banning of his 1973 novel *Kennis van die Aand* (*Looking on Darkness*)—it was the first Afrikaans novel to be so censored—cast Brink as the spokesperson for enlightened Afrikanerdom. (Since the 1970s, he has prepared simultaneous English and Afrikaans versions of his novels). Post-apartheid fiction includes *Sandkastele* (1996, *Imaginations of Sand*) and *Donkermaan* (2000, *The Rights of Desire*).

Other significant novelists include John Miles. His *Donderdag of Woensdag* (1978, *Thursday or Wednesday*) and *Stanley Bekker en die boikot* (1980, *Stanley Bekker and the Boycott*) were both banned: the former featured artists planning to kidnap the president; the latter dealt with racial discrimination and school boycotts through a formal engagement with the children’s story. Miles is best known for *Kroniek uit die Doofpot* (1991, *Deafening Silence: Police*

Novel), which was based on the case of the police killing of Richard Motasi—also recounted in Afrikaans poet Antjie Krog's creative nonfiction prose account of the TRC hearings, *Country of My Skull* (1998).

Karel Schoeman's many novels show a range of influences, including—unusually for an Afrikaner—conversion to Catholicism, and a later interest in Buddhism. A period as a novice in an Irish monastery informed *By fakkellig* (1966, *By Torchlight*), a historical novel about Irish nationalism in the late eighteenth century. Later novels included *Na die geliefde land* (1972, *Promised Land*), *Die hemeltuyn* (1979, *The Heavenly Garden*), and a trilogy: *Hierdie lewe* (1993, *This Life*), *Die uur van die engel* (1995, *The Hour of the Angel*), and *Verliesfontein* (1998). Another writer who wrote historical novels, though in a more popular—and very successful—vein, is Dalene Matthee, whose series set in the southern Cape's Outeniqua forest (around present-day Knysna) includes *Kringe in 'n bos* (1984, *Circles in a Forest*), *Fiela se Kind* (1985, *Fiela's Child*; also filmed), and *Moerbeibos* (1987, *The Mulberry Forest*).

Significant voices in contemporary fiction include Jeanne Goosen, Marié Heese, Chris Pelsler, Ingrid Winterbach, Christoffel Coetzee, and Eben Venter, whose well-received novels include *Ek Stamel Ek Sterwe* (1996, *My Beautiful Death*) and the dystopic *Horreelpoot* (2006, *Trencherman*). Mark Behr's *Die Reuk van Appels* (1993, *The Smell of Apples*), well received in the country and abroad, a tale of lost innocence, is also partially an example of *grensliteratuur* (border literature), engaging with the legacies of South Africa's costly covert military operations in Angola in the late 1970s and 1980s. Behr now writes in English (2009, *Kings of the Water*). Etienne van Heerden is prolific and highly regarded; his best-known novel is *Toorberg* (1986, *Ancestral Voices*). Marlene van Niekerk's harrowing 1994 novel *Triomf*

(*Triumph*), is named for the working-class white suburb built by the apartheid government on the ruins of the famed center of black Johannesburg culture, Sophiatown, and follows a trio of poor white siblings, the Benades, in the run-up to the first democratic elections of 1994. Van Niekerk's *Agaat* (2004, *The Way of the Women*), an ambitious revisioning of the *plaasroman*, has been received as amongst the most accomplished South African novels in any language in the new millennium.

OTHER COUNTRIES

In all countries of the South African Development Community (SADC), the usual delimitation of South Africa as a region, novelists have felt tensions between demands that writing act in support of projects of national self-definition in the postcolonial era, and concerns to interrogate the pitfalls of nationalist rhetoric or the disappointments of independence and neocolonialism. Attempts to write for a living in what are very small markets also pose dilemmas.

Southern Rhodesia became a self-governing colony in 1923. Early novels include colonial romances, although some work is critical of white racial attitudes and policies, including Arthur Shearly Cripps's *Bay Tree Country* (1913). Doris Lessing, the 2007 Nobel literature laureate, is sometimes regarded as a Rhodesian novelist; she spent the years 1925–49 in the colony, and *The Grass Is Singing* (1950), her first novel, is set there (as are parts of *The Golden Notebook*, 1962). The white minority Rhodesian government declared itself unilaterally independent of Britain in 1965, precipitating a protracted and bitter conflict with armed black nationalist guerrillas that culminated in the election of a majority government, and independence as Zimbabwe, in 1980.

Stanlake Samkange's *On Trial for My Country* (1966) is among the first significant proto-Zimbabwean novels, restaging the encounter between late nineteenth-century Ndebele/Matabele king Lobengula and Cecil Rhodes. Samkange also published *The Mourned One* (1968) and *Year of the Uprising* (1978). Charles Mungoshi's *Waiting for the Rain* (1975) compares earlier wars of liberation with the anticolonial struggle of the 1960s and 1970s, but was an indictment of the Rhodesian government's cultural policies, too, in that it was published in English in London, in the Heinemann African Writers series, so escaping Rhodesian censorship and defying the white government's attempts to corral black writers into writing in their vernaculars and being published by government-controlled presses (though Mungoshi did contribute greatly to the development of a literary Shona in his several novels in that language).

Much writing produced during the struggle (1966–79) is marked by a sense of psychic as well as spatial displacement, as writers attempted to balance aesthetic with political concerns. Nowhere is this more marked than in the work of Dambudzo Marechera, whose *The House of Hunger* (1978; strictly a short-story collection, but featuring an eponymous novella), *Black Sunlight* (1980), and *Mindblast* (1984) have earned him considerable regard as a high Modernist representing extreme alienation and psychological difficulties. Chenjerai Hove's *Bones* (1988) and *Ancestors* (1997) display striking formal inventiveness, including the use of Shona idioms and expressions. Like Shimmer Chinodya's *Harvest of Thorns* (1989) and *Chairman of Fools* (2005), Hove's writing engages with idealism and disappointment, solidarity, and the pitfalls of national identity. Chinodya's other novels include *Dew in the Morning* (1982) and *Farai's Girls* (1984).

Tsitsi Dangarembga's *Nervous Conditions* (1988), the narrative of a young rural Shona girl's education and coming to consciousness, and of her female family members' struggles with the twin burdens of colonialism and the chauvinism of traditional society, has received much critical attention. The much-anticipated second novel in a projected trilogy, *The Book of Not*, was published in 2006. Yvonne Vera published her first novel, *Nehanda*, in 1993, and followed it with four more, including the prizewinning *Butterfly Burning* (2000) and *The Stone Virgins* (2002). Vera has received praise for her poetic prose and sophisticated engagement with questions of gender identity. She died in Canada in 2005.

Vera's work is regarded as having been influenced by the form and style of the novel as it had developed in Shona, as well as of Shona oral culture. Important early work in Shona includes Bernard Chidzero's *Nzven-gamutsvairo* (1957, Mr. Lazybones), published by the Rhodesia Literature Bureau and widely read in schools in the colonial period. Catholic clergyman Patrick Chakaipa's romances *Karikoga Gumiremiseve* (1959, Karikoga and His Ten Arrows) and *Pfumo Reropa* (1961, Spear of blood), and the didactic *Rudo Ibofu* (1961, Love Is Blind), which also draws on traditional storytelling, were influential. *Garandichauya* (1963, Wait, I Shall Return) deals with disruptions wrought by colonial intrusions into traditional life. Paul Chidyausiku produces mostly shorter work (and is also a poet). Raymond Choto's satirical novel *Vavariro* (1990, Determination) offered a departure from nationalist fictions. A journalist, he was arrested and tortured by Mugabe's regime in Dec. 1998. Ignatius Tirivangani Mabasa, a former senior editor of the *Herald* newspaper, has had great success with his novel *Mapenzi* (1999, Fools), a satire on post-independence

Zimbabwe drawing on aspects of Shona orature and contemporary urban slang.

A literary tradition in Sindebele (or Northern Ndebele) is less developed, as is the case in South Africa (where the variety of the language is isiNdebele, or Southern Ndebele, where, as a written language, it is one of the youngest in the region). In Zimbabwe, Barbara C. Makhalisa's *Qilindini* (1974, *Crafty Person*) won a Rhodesian Literature Bureau award and explores issues of tradition and modernity, although apparently endorsing mission schooling and colonial governance. She also published *Impilo Yinkinga* (1983, *Life Is a Mystery*).

Malawi, with a history of mission education and a literate elite, produced a more robust literary culture earlier than neighboring Zambia, which, as Northern Rhodesia, had developed economically primarily on the basis of colonial mining interests. A joint Northern Rhodesian and Nyasaland (Malawi) publications bureau, established in 1947, attempted to encourage literary production but too often promoted writing which endorsed colonial attitudes. Aubrey Kachingwe's *No Easy Task* (1966), about the anticolonial struggle, is regarded as the first Malawian novel in English. The first major Zambian novel was arguably Dominic Mulaisho's *The Tongue of the Dumb* (1971), while other significant writers include Gideon Phiri, Binwell Sinyangwe, and Andreyasi Masiye.

Angola and Mozambique achieved independence from Portugal in 1975. Despite economic difficulties and protracted civil conflicts that lasted into the 1990s, both countries have witnessed significant literary production, before and since independence, in Portuguese and in autochthonous languages. Among the better known are Angola's Pepetela (pseud. of Arthur Carlos Pestana), whose *Mayombe* (1971, pub. in Portugal 1980; *Mayombe: A Novel of the Angolan Struggle*) dramatizes debates about

commitment and politics. Mozambican novelists include Paula Chiziane and António Emílio Leite (Mia) Couto, acclaimed author of, among other novels, *Terra Sonâmbula* (1992, *Sleepwalking Land*), *A Varanda do Frangipani* (1996, *Under the Frangipani*), and *O Último Voo do Flamingo* (2001, *The Last Flight of the Flamingo*). He is one of the best-known proponents of a regionally inflected magical realism. Angolan-born (now largely Lisbon-based) José Eduardo Agualusa (Alves da Cunha)'s *O Vendedor de Passados* (2004), translated as *The Book of Chameleons* (the translation won the Independent Foreign Fiction Prize in 2007), is rendered in a similarly fantastic—though lightly dazzling—style, featuring a character, Félix Ventura, who is a seller of pasts. *Nação Crioula* (1997, *Creole*) first won Agualusa notice as a leading young Lusophone writer; it followed *Estação das Chuvas* (1996, *Rainy Season*).

BIBLIOGRAPHY

- Attridge, D. and D. Attwell, eds. (2010), *Cambridge History of South African Literature*.
- Attridge, D. and R. Jolly, eds. (1998), *Writing South Africa*.
- Attwell, D. (1993), *J.M. Coetzee*.
- Attwell, D. (2005), *Rewriting Modernity*.
- Barnard, R. (2007), *Apartheid and Beyond*.
- Chapman, M. (2003), *Southern African Literatures*, 2nd ed.
- Chrisman, L. (2000), *Rereading the Imperial Romance*.
- Coetzee, J. M. (1988), *White Writing*.
- Gérard, A. S. (1971), *Four African Literatures*.
- Kannemeyer, J.C. (1993), *History of Afrikaans Literature*.
- Kannemeyer, J.C. (2005), *Die Afrikaanse literatuur 1652–2004*.
- Keenoy, R., ed. (1995), *Babel Guide to the Fiction of Portugal, Brazil and Africa in English Translation*.
- McDonald, P.D. (2009), *Literature Police*.
- Ndebele, N. (1994), *South African Literature and Culture*.

- Ntuli, D.B., and C.F. Swanepoel (1993), *Southern African Literature in African Languages*.
- Primorac, R. (2006), *The Place of Tears*.
- Samuelson, M. (2007), *Remembering the Nation, Dismembering Women?*
- Smith, M.v.W. (1990), *Grounds of Contest*.
- van Coller, H.P., ed. (1998, 1999, 2005), *Perspektief en profile*, 3 vols.
- van der Vlies, A. (2007), *South African Textual Cultures*.

Southern Cone (South America)

KELLY AUSTIN

Southern Cone narratives have captured the attention of readers around the world partly because of supremely talented writers such as Jorge Luis Borges, Julio Cortázar, José Donoso, Augusto Roa Bastos, Juan Carlos Onetti, and, more recently, Manuel Puig, Diamela Eltit, Luisa Valenzuela, Cristina Peri Rossi, and Roberto Bolaño. Then there is the unique notoriety of the region that inspires musicals, movies, documentaries, and histories about political upheaval. Critics, too, have accorded the Southern Cone novel greater attention than other novels in Latin America, with the exception of the Mexican novel. Popularity has shaped the region's narrative production, and critics have seen to it that these narratives receive special care and scrutiny.

Academic critics often stress the vicissitudes of the Southern Cone's novelistic production in terms of national and regional histories, especially political histories: for example, the nineteenth-century revolutionary struggles, the nineteenth-century dictatorship of Dr. José Gaspar Rodríguez de Francia, his enforcement of the official use of Guaraní in Paraguay, Perón's populism in Argentina, the struggle of the "common man," the rise of the Left, the

Pinochet and Perón dictatorships, the disappearance of tens of thousands of people, the Madres de la Plaza de Mayo, as well as the trials and triumphs of redemocratization. Academics write often of narratives of nation formation, DICTATORSHIP novels, and the novels of exile in the Southern Cone, although these genres are not peculiar to the region. Even as it is certain that Southern Cone novels respond to and are embedded in political histories, correlating the developments of these novels too closely with the geography and events of the nations that comprise the region—Argentina, Chile, Paraguay, and Uruguay—can easily obscure the intellectual and artistic independence of their extraordinary novelists. Exile, international travel, libraries filled with world literature, and cosmopolitan creativity—to name but a few—have contributed to Southern Cone novels of enormous import, just as political forces, local culture, and border-bounded intellectual arguments—to name but a few elements of the lives of Southern Cone novelists—have also contributed to Southern Cone novels of enormous import. Neither an aesthetic nor a political history alone can do justice to the developments of Southern Cone fiction. One might say, for purposes of introduction, that a history of the narratives spun in Southern Cone novels leads directly to questions concerning the literature and literary culture of newly forming (and constantly generated) nation-states.

This much may seem obvious, but the aesthetic positions taken by novelists and critics swirl, reverse, and rotate all around the eddies of individual national histories and of global intellectual priorities and preoccupations. To tie the novels of the Southern Cone closely to a unified history or even to differentiated histories of each nation would be as misleading as it would be to ignore the role of these histories in the

founding of such a potent genre as the Southern Cone novel. What one wants is a way to see the political and social significance of these novels without attributing to such forces the very great artistic merit of individual novels.

From the mid-nineteenth century to the present, politics and art have been closely intertwined in the Southern Cone. In the 1840s, while Domingo Faustino Sarmiento was in exile, enforced by the Argentine Federalist government he criticized, he participated in what became a fundamental debate with Andrés Bello and José Victorino Lastarria about the formation and generation of language and literature in then-fledgling Latin American nations. As Efraín Kristal concludes:

they set up the terms in which discussions about cultural emancipation of Hispanic America have been framed ever since: whether to apply the positive elements of Hispanic America's cultural and historical heritage in an original way (which is Bello's project), or to try to make a clean slate of the Hispanic cultural and historical heritage, viewed as a barrier to modernity (which is Sarmiento's position). (68)

Bello holds to the preservation of a common language as a foundation for and sign of shared human heritage across vast geographical spaces. Sarmiento envisions language as positively malleable: it expresses distinct ideas in locally established forms, and also exercises the freedom to alter and invent forms to encourage the development of a distinct art in Latin America. These arguments urge that the theoretical commitments that drive our choices about language use go far to determine the nature of civilization in the New World. The conflict between preservation and change resurfaces in later debates regarding the status of indigenous languages in relation to colonial

language. For our purposes in describing the rise of the Southern Cone novel, it is important to highlight the fact that these thinkers' concern over a future Latin America and literature of the Americas reflects the notion that intellectual foundations should arise from open, public debate among persuasive individuals.

Sarmiento's highly influential *Facundo* (1845) in many ways sets ideological patterns that shape the development of the novel in the Southern Cone (especially in Argentina), although critics have argued whether and to what extent they should place this eclectic work within the literary genre of the novel. To understand Sarmiento's role in the literary history of the Southern Cone, one must remember that he was not only a prose writer but a head of state. First, in response to the political divisions between the Federalists and the Unitarians that then dominated Argentina, Sarmiento creates a narrative that establishes Buenos Aires as a civilized center opposed to the barbaric lands to the west, the Pampa. Second, he helps to construct and entrench a prehistory for the nation by artfully elaborating an account—from the eastern city, Buenos Aires—of the life of the Gauchos in the west. Between the city center of Arts and Letters and the unthinkable threat of the Indigenous or the Pampas as Wilderness, the Gaucho represents a middleman who adheres to neither pole but is necessary to enable civilization: to build society, to facilitate progress, and, eventually, to serve his passing part in founding a nation with boundaries worthy of its visionaries. Eventually, during Sarmiento's own presidency, he sought to realize the settlement of the Pampas, the extension of the railroad and telegraph westward, and the extermination of the Indigenous populations. His extermination policy was, in large part, an horrendous consequence of his

understanding of the U.S. as a model for modern progress.

NINETEENTH-CENTURY ROMANTICISM, REALISM, AND NATURALISM

Critics on the whole agree that in the Southern Cone three modes of prose fiction take hold in the nineteenth century: Romanticism, Realism, and Naturalism. Doris Sommer has argued, based in part on representative samples from these three modes, that the romantic love plots in Latin America often signify, obliquely or forthrightly, the desires for unified countries and the resolution of social conflict. Among the novels she treats in *Foundational Fictions: The National Romances of Latin America* is the first novel published by an Argentine, *Amalia* (1855), written in exile from the Rosas government while its author, José Mármol, was in Montevideo. This novel blends the influences of Romanticism with polemics against the Rosas government. Daniel and Amalia pursue impossible love within a plot filled with intrigue, political violence, and dissidence. The failure of their relationship mirrors what Mármol sees as the national failures of the country to progress within the chaos engendered by a Federalist Argentina. Since Amalia fails to protect the life of pro-Unitarian Daniel from the Federalists who seek to murder him, under the Federalist government the doomed romance of Daniel and Amalia in this pro-Unitarian novel names violence as one of the main reasons that Argentina is unable to resolve intransigent differences.

The rise of Realism in the Southern Cone does not, as often is the case in literary history, shake free of its Romantic precursors. *Martín Rivas* (1862), the most critically recognized novel by Chilean Alberto Blest Gana, is written on the heels of a

decade of civil discord. It emphasizes national unity, consensus despite conflict between classes and regions in Chile. Set in Antofagasta, it portrays the social conditions brought about by class difference, social rank, and political division, yet a love is ultimately realized between Martín and Leonor, a woman of a social class above Martín's own. The optimistic union of Romanticism and Realism in this novel turns a socially blocked love to one that can represent reconciliation. Blest Gana consciously attempts to apply the Realist techniques of European authors such as Honoré de Balzac, whom he read during his four years in France, to fictional themes germane to Chilean history. His later work *Durante la reconquista* (1897, *During the Reconquest*), although remaining close to Realist roots, incorporates the methods of Naturalism more boldly to critique a squandering upper-class society.

Years earlier, Argentine Eugenio Cambaceres wrote the novel critics claim comes closest to Naturalism in Spanish America, *Sin Rumbo* (1885, *Without Direction*), and charts this familiar theme of upper-class decadence. The novel centers rather relentlessly on the *nausée* of a landed Argentine who, as the title implies, represents a man who appears to have been born without sufficient fortitude and stability to take seriously his responsibilities as a landowner, a representative of his class, or, ultimately, as an exemplar of the ideals of manhood. When the tide seems to turn as he takes on the care of his illegitimate daughter, her death proves too much for him, and he commits a gruesome suicide. His character leads to his own destruction, but Cambaceres points to the more general danger of carelessness in "the man of a certain class" that may lead to widespread financial destruction and moral corruptness in the nation as a whole.

EARLY TWENTIETH-CENTURY MODERNISMO AND VANGUARDIA

The Southern Cone novel placed a premium on subjective experience, metaphysical questions, and aesthetic experimentation in its *modernista* and *vanguardia* incarnations. When Rubén Darío praises Francisco Contreras for his patriotism and cosmopolitanism in the prologue to *La piedad sentimental: Novela rimada* (1911, *Sentimental Pity: A Rhymed Novel*), Contreras's novel composed of poetry and prosaic verse advertises its ties with *modernismo*. Contreras follows the thoughts of the influential Uruguayan essayist José Enrique Rodó, who values both avant-garde experimentation and the maintenance of regional and local culture. Both are worthy of the aims of literature not only because innovation has at its foundation artifice rather than utility, but also because they encourage the enrichment of cultures along local lines. This is of special import to Rodó since he sees the pragmatism of the U.S. as encroaching on, and even threatening to, the diversity of Latin American habits. This similarity is striking since Contreras moved to and lived his entire life in Paris from 1905 onward. He shared this exile with a community of Latin American writers and intellectuals who hailed from such diverse places as Nicaragua, Guatemala, Mexico, Peru, Venezuela, and Argentina: Rubén Darío; Enrique Gómez Carrillo; Amado Nervo; Ventura, Francisco, and José García Calderón; Rufino Blanco Fombano; and Enrique Larreta. In fact, Contreras became a part of French intellectual life as the contributor to the *Mercure de France* of a column called "Lettres hispano-américaines" (Hispano-American Letters) for over twenty years (Weiss, 8–9). Although at a great distance physically from Latin America, in Contreras's *El pueblo maravilloso* (1927, *The Wonderful Town*), published first in French in 1924 as *La ville merveilleuse*, he named a movement that

proclaimed its subject to be based in community and history, focusing on land, tradition, and the people that would, like all superior literature, be interpreted by writers to reinforce through difference what he viewed as a shared primordial universality: *mundonovismo*.

Argentine Macedonio Fernández was a precursor of the *ultraísta* movement of the 1920s. His *Papeles de reciénvenido* (1929, *Papers of the recently arrived*), although some would not strictly categorize it as a novel, later influenced the development of the novel in the 1960s and 1970s. The story consists in an accident in the street that leads a first-person narrator to a chain of apparently free associations that emphasize the absurdity, irrationality, humor, chanciness, and paradoxes of social and personal experience. Some of his most striking work was published posthumously: *Adriana Buenos Aires (Última novela mala)* (1974, *Adriana Buenos Aires: The Last Bad Novel*) and *Museo de la novela de la Eterna (Primera novela buena)* (1967, *The Museum of Eterna's Novel: The First Good Novel*). Only recently, seventeen years' worth of his correspondence with Jorge Luis Borges was published by Corrigedor. It reveals a meaningful literary bond of long mentorship and friendship that some critics believe inspired, developed, and refined Borges's opinions about issues many had previously believed to be largely particular to him (although Borges himself would likely disagree). The letters point especially to their shared preoccupation with how metaphysics (for example, the notion that our lives may be dreams) bears upon literary production.

It is widely known that Adolfo Bioy Casares collaborated closely with Borges. He began his career writing short fiction, and in 1937 he published his most significant work, *La invención de Morel (The Invention of Morel)*. Borges wrote the introduction to this novel that incorporates Modernist and

Surrealist aesthetic models. He draws upon avant-garde movements and cinematic technology to write a highly fragmented narrative that mimics filmic montage. It both undermines the notion of film's privileged relationship to reality and questions the ontological status of a novel. Further, he creates a protagonist who is also the narrator of the diary that largely comprises the text. Bioy Casares capitalizes on opportunities to destabilize the novel's referential truth value. For example, when the protagonist describes the island he fled to from Venezuela, he believes it is Villings, located in the archipelago Las Ellice (Ellis Islands). Bioy Casares turns editorial convention against itself by inventing an editor, N. del E., who writes his first footnote explaining that the identification is unlikely, since the island does not have the common characteristics of the islands of Las Ellice (Casares, 17). Bioy Casares innovates in order to turn the predominant literary themes of nation and local color toward cosmopolitanism.

Borges, it might be said, never penned a novel, yet in his own literary universe he just might have done so through translation. Borges fondly revised the fantastic, the detective genre, and the Gauchesque genre because of his faith and pleasure in human imagination and infinite libraries; he expressed gratitude for the accumulated art of the word, a glorious consolation for the writer who believes there is nothing new under the sun. In essays such as "Pierre Menard, el autor del *Quixote*" (1939, "Pierre Menard, the author of *Quixote*"), he reveals the ways that history creates readership. His ideas later appealed to the Boom writers, even though they would distance themselves from him politically. (The actions in question: Borges resigned from his position as the director of the Argentine National Library in 1973 when Perón was reelected, and he accepted an award from Augusto Pinochet, then dictator of Chile.)

In the first half of the twentieth century, Chilean María Luisa Bombal wrote two highly influential and beautiful narratives, *La amortajada* (1938, The shrouded woman) and *La última niebla* (1935, House of mist), that critique the national romance narrative in multiple ways. Her prose moves away from the dominant movements of the nineteenth century and toward more imaginative and experimental modes of writing: narrating a funeral from the point of view of an omniscient narrator and also from the perspectives of multiple characters in *La amortajada*, including that of the deceased woman. Bombal's French education, as well as her residence in Chile, Argentina, and the U.S., afforded her unique opportunities for contact with leading writers of the time, such as Borges and Pablo Neruda. Her unconventional aesthetic achievements were revisionary and forward-thinking, especially because she opened the category of gender to more varied representation than nineteenth-century national romance narratives had allowed.

Roberto Arlt, an Argentine, reoriented narrative on themes of the city, in his case Buenos Aires, with his first novel, *El juguete rabioso* (1926, *Mad Toy*), but with a difference. He turns away from the perils of social problems and policies and toward absurd characters. His character Silvio Astier not only feels degraded by the danger of the city (as Naturalism's characters regularly do), but contributes to his own degradation. He is a man who perpetrates random wrongdoing, yet remains impotent on the periphery of societal norms. He has not the full agency of a wicked person and thus is not held personally responsible for his offenses. Arlt's story hinges on both the senselessness of Astier's character and of his surroundings. This work influences Boom and post-Boom narratives, even as it reaches back to the concerns of Naturalist representation.

MID-TWENTIETH-CENTURY REALISM

Writers indeed took a backward glance as the Southern Cone novel developed in the mid-century. Beginning in the 1940s and 1950s, a Realist mode reemerged in order to express social protest. In Argentina and Paraguay, several works responded directly to living conditions during the Perón regime (1946–55) and the dictatorship of Alfredo Stroessner (1954–89). Argentine Bernardo Verbitsky found fame as a Socialist-Realist novelist. His *Un noviazgo* (1956, *An Engagement*) tells of working-class suffering during political upheaval in the 1930s and 1940s. Paraguayan Gabriel Casaccia wrote *La llaga* (1964, *The Sore*) and *Los exiliados* (1966, *The Exiled*) in part to denounce Stroessner's militarized strategies of political repression. Yet *La llaga* interprets an attempted coup of the government by using the intimacy of interior monologue; the thoughts of some characters, among them Atilio and his mother Constanca, open the public protest novel to personal stories of psychological complexity and sexual perversion. The Chilean generation of 1938 declared as their aims political and social reform in urban settings. Among these writers, the most critically recognized are Carlos Droguett and Fernando Alegría. Droguett's historical novel *Eloy* (1960) fictionally relates the last hours of the outlaw Eliodoro Hernández Astudillo's life from his own perspective, one that includes consciousness of his inevitable death. Droguett's *Patas de perro* (1965, *Dog's Paws*), on the other hand, pursues an unrealistic premise—a man born with dog's paws (Bobi)—to explore, through interior monologue and free indirect speech, the psychological and social consequences of an unwilling transgression of society's norms. Alegría's *Los días contados* (1968, *The Counted Days*) uses similar novelistic

techniques as he reveals in the life of a boxer the range and depth of human experience in Santiago's slums. In the final chapter, Alegría takes advantage of the literal meaning of his name when he writes himself as narrator and/or author into the plot. In the end, he implies that a character told him the story of his novel. She says, symbolically, "Adiós Alegría" (literally, "Goodbye Happiness"), and he replies, "Adiós Anita," ending his book with a melancholy meta-textual flourish. Although Chilean Marta Brunet shares concerns and methods with Droguett and Alegría, her extensive body of work was considered controversial when it first appeared. Her most ambitious and appreciated novel, *Humo hacia el sur* (1946, *Smoke toward the South*), focuses on women's lives in a boom town in southern Chile in 1905. She explores how the individual is shaped by social dynamics, especially the forces of gender and class norms. The pressure of daily life in the mid-century was so great that even very talented writers reached back in the history of the novel to produce an art sufficiently rich in the representation of social life to express the political moment.

MID-TWENTIETH-CENTURY MODERNISMS

There was also a rejuvenation of Modernist aesthetics in mid-century. One sees plainly in a number of novels the main literary and intellectual currents of Europe moving through the literary culture in the Southern Cone. Leopoldo Marechal, Felisberto Hernández, and Ernesto Sábato all drew from and contributed to what is known as World Literature. Marechal's most important work was *Adán Buenosayres* (1948). He claimed a forefather in James Joyce's *Ulysses* that he adapted to his native Buenos Aires; instead of Homer, Genesis was his intertext.

Its eponymous hero makes his way through the city as Bloom did, in a mixture of modes, languages, and moods. Catholic and Peronist, Marechal thumbed his nose at what he saw as the liberal literary establishment.

The great Modernist lessons seemed to authorize some novelists' freedom from the political and social commitments of the preceding generation of intellectuals. For example, Uruguayan Hernández focuses his narrative works on unusual, surrealistic (not representative) scenes. He was admired by Julio Cortázar and known as a precursor of the neo-fantastic. Perhaps his most famous work, *Las hortensias* (1945, *The Daisy Dolls*), represents the power of a subject's psyche to animate empirical objects. Hernández creates a story of a man's obsession with dolls that borders on fetishism and pornography. And yet the narrative fosters sympathy by portraying the dolls as objects of love. The novella creates just enough narrative distance to make a reader feel complicit in these fantasies and to hold her at bay with the omission of crucial details.

Ernesto Sábato in particular is an Argentine artist to be reckoned with in post-WWII circles. His involvement with the canonical Argentine literary magazine, *Sur*, helped him to make an early mark. His novels *Sobre heroes y tumbas* (1961, *On Heroes and Tombs*) and *Abaddón, el exterminador* (1974, *Abaddon, the Exterminator*) are widely considered major works. Yet Sábato's *El túnel* (1948, *The Tunnel*) is perhaps one of the most popular Latin American novels that center on both city life and existentialist agency. The protagonist's perspective, that of Juan Pablo Castel (whose first names he shares with Jean-Paul Sartre), puts weight on the choices of the individual in this novel. The narration of his story from jail only heightens the sense that each of us is alone; Castel's misunderstanding of his lover and subsequent murder of her reveals the ways that

accidents and disorder set limits on reason vis-à-vis deliberative choice. Mid-century writers in the Southern Cone, then, resourcefully developed literary precedents within their own traditions as well as the literary and philosophical life of Europe and the U.S. at the time.

LATTER TWENTIETH-CENTURY SKEPTICISM AND THE BOOM

A general intellectual courage seemed accessible not to any one party or school of thought, but to several novelists in the 1950s. One sees in Southern Cone novels, then, a development of independent skepticism. Argentine David Viñas, for instance, was among those who questioned not only Perón populism, but the nation's institutions generally and its people of influence. His work reflects a neorealism, an effort to represent social life as it was actually experienced, rather than as it had been imagined. Although *Los años despiadados* (1956, *The Ruthless Years*) takes aim at a society virtually contemporary with its writing, Viñas was especially concerned with historical accuracy when he told this story about the friendship of a middle-class boy and a proletarian boy who is associated with *peronismo*. In one of his most critically acclaimed novels, *Cayó sobre su rostro* (1955, *He Fell on His Face*), Viñas layers multiple viewpoints in order to revise radically the official history of one of Argentina's acclaimed heroes: General and later President Julio A. Roca, the "Conqueror of the Desert." Roca's 1879 military attacks on the Indigenous in Patagonia are exposed in the novel as having been devastatingly violent and fraudulently rationalized.

Juan Carlos Onetti, who lived in Montevideo, Buenos Aires, and Paris, is considered the most important Uruguayan novelist in the twentieth century; his work reflects an

impressive intellectual integrity. His skeptical search for meaning through existentialist philosophies brought his novels to the attention of writers in the decade preceding the Boom of the 1960s. He deftly adapted European and American Modernist aesthetics in his major novels: *La vida breve* (1950, *A Brief Life*), *Los adioses* (1951, *The Goodbyes*), and *El astillero* (1961, *The Shipyards*). In these novels he employs *doppelgängers*, a narrator with multiple versions of the story, and a continual sense of alienation in his invented city of Santa María (placing him between the Yoknapatawpha County of Faulkner and the MacOndo of García Márquez). In his final novel, *Dejemos hablar al viento* (1979, *Let the Wind Speak*), his skepticism moves as close as one may, while still writing, to nihilism. Medina, the protagonist of many Onetti novels, loses his battle to create a world for himself in Santa María. Many of the bases on which individuals and collectives may create meaning and value—capitalist success, romantic love, religion, psychoanalytic cures, and utopian politics—come to nothing in the novel; a reader inevitably arrives at the dark sense that all these means to satisfaction are equally empty. In 1980 Onetti received the Miguel de Cervantes literary prize.

Augusto Roa Bastos is the preeminent Paraguayan novelist, but this does not take one far in assessing his literary achievement. His 1959 *Hijo de hombre* (*Son of Man*) combines the use of the indigenous language Guaraní, virtually independent chapters, and highly metaphorical writing in a Modernist-inspired style that revises official histories of both the colonial period and the 1930s Chaco War. In his masterpiece, *Yo, el supremo* (1974, *I, the Supreme*), Roa Bastos offers a fictional autobiography and metafictional account of the nineteenth-century Paraguayan dictator José Gaspar Rodríguez de Francia. Written un-

der the dictatorship of Alfredo Stroessner, this novel is often read as a veiled attack on Stroessner's regime. The novel has achieved preeminence among dictatorship novels and New Historical novels, and has become one of the most comprehensive metatextual manuals since *Don Quixote*. As John King writes:

It is impossible to summarize this extraordinary novel in a few lines. It incorporates the latest developments in linguistic theory and practice, talks of the arbitrariness and unreliability of language that purports to describe reality, rereads and comments upon the various histories and travelers' accounts of Paraguay, ranges across the breadth of Latin American history, implicitly condemning Stroessner and debating with Fidel Castro, and exploring once again the gap between writer and reader. (291–98)

The dictator and his secretary exemplify the Chinese boxes of interest in written and voiced multilingualism; the dictator pronounces and the secretary records truth and lies as autobiography is framed within the novel. Thus the aesthetic method creates and resists the novel as auto-verifiable.

Julio Cortázar—Argentine short-story writer, novelist, and translator—plays a central role in Latin American letters in the twentieth century, even though after 1951 he lived in exile in Paris. In addition to his highly influential collections of short stories (1951, *Bestiario*, *Bestiary*; 1956, *Final del juego*, *End of the Game*; 1962, *Historias de cronopios y de famas*, *Cronopios and Famas*; 1965, *Las armas secretas*, *The Secret Weapons*; and 1966, *Todos los fuegos el fuego*, *All Fires the Fire*), Cortázar wrote one of the most seminal and lauded novels of Latin America: *Rayuela* (1963, *Hopscotch*), a book as hip as its readers, and just as likely to send them up as itself. As his *lector cómplice* (complicit reader) we are free to read the novel chronologically, page after page, or in

another order suggested by the text, even as this alternative reading leads us to an endless back-and-forth between two chapters. In this alternative reading, the progress of the text relies finally on the reader's effort, paralleled by that of the narrator, Morelli, an emblem of the novelist's desire for an active reader. On the other hand, La Maga advocates for a *lector hembra* or *lector pasivo* (passive reader), a position that is as easily defensible in the textual world of *Rayuela*, a turn as much toward happenstance as toward order. The novel establishes a dialectic of the narrated life of Horacio Oliveira between Paris and Buenos Aires, destinations of order and the annihilation of order: sex, alcohol, *mate*, and jazz. Between the narrator and his character lie the perils of existential freedom and literary liberation from tradition. One should recognize that the general literary success of the Southern Cone novel has, in some part, depended on translation. Cortázar in particular has been very well served by his collaborators. His *62; modelo para armar* (1968, *62; A Model Kit*) and *Libro de Manuel* (1972, *A Manual for Manuel*) have also attracted wide attention among literary critics, thanks partly to their masterful translation into English by Gregory Rabassa.

Chilean José Donoso became an integral part of the Boom, though he has been less recognized outside of Latin America. Unlike his Boom contemporaries, Donoso shied away from grand, explicitly historical novels about Latin America. An elite education at the Grange School led him to meet Carlos Fuentes, a lifelong friend, and to begin his practice as a writer. He eventually studied at Princeton, encountering R. P. Blackmur and Allen Tate. During the 1950s Donoso was stylistically bound neither to the Realist aesthetics of his contemporaries nor to those of the Modernists. He then wrote psychologically driven novels, such as *Coronación* (1957, *Coronation*). The criti-

cism this book expressed of the Chilean oligarchy was amplified in his novel *Este domingo* (1966, *This Sunday*). This stylistic tendency continued into what many consider his masterpiece, *El obsceno pájaro de la noche* (1970, *The Obscene Bird of Night*). Donoso concerned himself with creating surreal dreamlike states, the psychological and emotional conditions of characters who lie, for some reason or another, on the margins of society. The narrator Mudito, Humberto Peñalosa—a frustrated or aspiring writer—along with Jerónimo and Inés Azcoitia and their deformed son, whom they conceal on their estate, La Rinconada, may be the main players in *El obsceno pájaro*. Yet, the fact that the novel never settles on a consistent narrator, or on a main character, or even on a plot heightens the purposefully dizzying metadiscursive experiments of the novel. Donoso undermines the notion of a safe vantage point from which to construct stable hierarchies. *Casa de campo* (1978, *A House in the Country*) creates two worlds that exist simultaneously but cannot both be true. On the paradox of the adults of the Ventura y Ventura family enjoying a pleasant picnic day away from the manor while the children simultaneously endure the onslaughts of nature, attacks by the indigenous, political schisms, and more over the course of a year in the country manor, Donoso creates a novel that critiques the Pinochet dictatorship, the entire history of Chile, and various artistic and literary codes. For example, the famous entrance of the author as a character in the novel speaks to an awareness of reading models and expectations that heighten a reader's suspicion of his or her own practices. Donoso is also well known for other works: *El lugar sin límites* (1966, *Place without Limits*), *Historia personal del "boom"* (1972, *The Boom in Spanish American Literature: A Personal History*), and *El jardín de al lado* (1981, *The Garden Next Door*).

THE LATE TWENTIETH-CENTURY POST-BOOM

Argentine Manuel Puig's *La traición de Rita Hayworth* (1968, *The Betrayal of Rita Hayworth*) forthrightly shifts the art of the novel. He subtly uses popular culture, especially film, and employs a vertiginous narrative technique of multiple narrators and dialogue to disperse narrative authority. The absence of a controlling narrator undermines the stability of a world that shuns Toto's burgeoning sexuality. Puig especially trains a critical light on unjust principles that undergird the popular and the elite in equal measure. The novel that won Puig world acclaim was *El beso de la mujer araña* (1976, *Kiss of the Spider Woman*), which both undermines and recuperates mainstream gender and genre thoughts and practices. By layering low and high cultural elements in the context of a relationship between one man imprisoned for his politics and another for an affair with a young man, Puig constructs a critical perspective on civic and private autonomy in the 1970s.

The famous first words of Argentine Ricardo Piglia's *Respiración artificial* (1979, *Artificial Respiration*), "¿Hay una historia?" (Is there a history, a story?; *historia* means both history and story), indicate the multiple ambitions of this novel: to negotiate the strictures of official history imposed by political regimes and institutionalized narratives, the poststructuralist assault on the referential value of language, literature's capacity to intervene in social life, the ability of narratives to capture the heart, and, most of all, singularity. The novel is divided into two parts. The first concerns Emilio Renzi's collaboration with his uncle in telling the story of Juan Manuel Rosas and his private secretary, Enrique Ossorio. In the second, a Pole named Vladimir Tardewski, who lives in Argentina, narrates a conversation of some twenty hours' length about

Argentine political and cultural history. Taken together, the two parts of Piglia's novel forefront the collaborative construction of national histories and language.

Critics group Chilean Diamela Eltit with Piglia as prominent postmodern writers in Latin America. Their work reflects the influence of recent literary and political theory, and the alignment of the novel with the intellectuality of the academic sector. Because she remained in Chile throughout the Pinochet dictatorship, Eltit holds the status of an artist of "inner exile." Her first book, *Lumpérica* (1981), is a morbidly fascinating, ethically troubling book about the body, language, capitalism, commodities, public pressure, public display, exposure, and power—subjects well known to academic intellectuals. Her prose frames a multiply named woman vagabond as if through the lens of a camera. Through analysis of the sacred and the profane Eltit critiques a country under revised and, often, disorienting codes regarding the traditions of both in Chile. In truth, the most compelling hold her writing has over its reader comes from its density. The novel's title, perhaps the least example of its poetic prowess, provides an amazing neologism combining *lumpen* with *américa* where Eltit reaches for a wide audience for a subject below social boundaries and polite discourse. Some of her other acclaimed works are *Por la patria* (1986, *For the Mother Country*) and *Vaca sagrada* (1991, *Sacred Cow*).

Argentine Luisa Valenzuela writes one of the most complexly surreal and simultaneously allegorical and realist novels in all of Latin American history about the Dirty War in her homeland: *La cola de lagartija* (1983, *Lizard's Tail*). El Brujo, the protagonist of her novel, stands in for José López Rega, a Rasputin figure who became the Minister of Social Wellbeing when Isabela Perón was the regime's figurehead. Valenzuela's use of the *doppelgänger*,

signifying fictional and real accounts, emancipates the confusing emotions of those living under the regime's control. When it is most important to distinguish the real from the fictional, beyond all poststructuralist accounts, she writes a provocative narrative about what one might believe as real and true. Her magnificent play with the acronym for the Alianza Anticomunista Argentina (Argentine Anticommunist Alliance), AAA; the attempts by La Bruja to auto-impregnate himself with his third testicle, Estrella, as a vesicle; and her devastating accounts of the rivers of blood all reveal amazing control of language, especially in the second part. She signs her name to the first part, announcing her authorial effort to transform the novel into a meta-testimonial account of her search for her missing lover. In the juxtaposition of the radically different discursive parts of the novel Valenzuela may make her most important intervention into the dictatorship novel, realizing in one book the power and persuasiveness for both oppressor and oppressed of diverse novelistic strategies. Her most striking novels include *Aquí pasan cosas raras* (1975, *Strange Things Happen Here*) and *Cambio de armas* (1982, *Other Weapons*).

For political reasons, Cristina Peri Rossi left Uruguay for Spain in 1972 and eventually became a citizen there. Her novel *Nave de los locos* (1984, *The Ship of Fools*) uses multiple narrators and an avant-garde pastiche travel narrative to explore the plight of exile, migration, and estrangement. The protagonist, Equis, points to her engagement with Foucault and other theorists (as the title suggests an allusion to *Madness and Civilization*). Not only does the ship of fools refer to the stories of medieval practices of exclusion, but also, in this novel, to a busload of pregnant women on their way from Spain to an abortion clinic in London and elusive concentration camps. One's inability to locate precisely the concentration camps

makes the horror extend, through displacement, across the world. She creates situations that push an openly universal agenda where the horror takes place in many locales, not only in the local one. These ethical dilemmas inevitably hit home. The final scene in the final chapter of the novel famously complicates performativity by portraying Equis finding Lucía (previously disappeared) in a transvestite club, in an act where she is dressed as a man, impersonating Charlotte Rampling, impersonating Helmut Berger, impersonating Marlene Dietrich in drag, dancing with a partner who wishes to be someone she desires to be, and who seems to be Dolores del Río (Kantaris, 74). Peri Rossi is thus a part of a wave of post-Boom writers who examine and engage contemporary philosophies of identity, language, and place.

TURN-OF-THE-CENTURY TRENDS

Indeed, since the late 1990s the Southern Cone narrative has engaged increasingly global themes and audiences. Chilean Isabel Allende is one of the most commercially successful writers to emerge from the Southern Cone. Her first novel, *Casa de los espíritus* (1982, *The House of the Spirits*), is widely recognized as a rewriting of Gabriel García Márquez's *Cien años de soledad* (1967, *One Hundred Years of Solitude*). Set in Chile, it blends historical fact with extravagant invention; Allende made a critical incursion into the genre of MAGICAL REALISM. She stays relatively true to the magical realist style as she chronicles four generations of the Trueba-del-Valle family, even as she focuses especially on the matrilineal: Nívea, Clara, Blanca, and Alba. Her most significant turn from the Boom is an alternative ethical gesture implied by the temporality of the final chapter. Although Allende's novel can be read as circular, since the last words

echo the first, it proposes that telling and retelling are ethically progressive in combating forgetting. The worst injustice from this point of view is a life condemned to oblivion. Moreover, Alba's narration in the final chapter points to forgiveness rather than vengeance as a proper reaction to the atrocities of the military coup of 1973. Allende's second most acclaimed book about Chile is *De amor y de sombra* (1985, *Of Love and Shadows*), and she continues to write prolifically in the U.S.

Chilean Alberto Fuguet has written a series of novels in the wake of being among those who founded the influential literary group McOndo in 1996. His most widely read and acclaimed novel, *Mala onda* (1991, *Bad Vibes*), portrays the lives of teenagers in Santiago de Chile caught up in a globalized and fast-paced world unknown to previous generations. Its abundant use of slang and countercultural references explore youth culture alongside an increasingly open discontent with the Pinochet dictatorship in the early 1980s.

Roberto Bolaño became the darling and talented *enfant terrible* of many recent accounts of the Southern Cone novel. He was born in Chile but spent much of his life wandering through France, Mexico, and El Salvador, and he finally settled in Spain. Stories of his "vagabond" or "beatnik" life have fascinated contemporary critical accounts: was he actually detained by the forces of the 1973 Chilean coup? Was he truly a recovered heroin addict? One wonders whether these conjectures derive from a sensationalist journalist looking for the Romantic in the modern writer, or the author's efforts to show how stories and representations, even of the self, both reveal and conceal. Bolaño's career as a novelist is astonishingly dense in the ten years before his death in 2003: *La pista de hielo* (1993, *The Skating Rink*), *Literatura nazi en América* (1996, *Nazi Literature in the Americas*),

Estrella distante (1996, *Distant Star*), *Los detectives salvajes* (1998, *The Savage Detectives*), *Amuleto* (1999), *Monsieur Pain* (1999), *Nocturno de Chile* (2000, *By Night in Chile*), and *Amberes* (2002, *Antwerp*). The most highly acclaimed novel published during his lifetime was *Los detectives salvajes*. In this postmodern DETECTIVE novel, the array of voices describing the literary and adventurous ramblings of Ulises Lima and Arturo Belano lets the reader know she is on unstable ground. In the opening and final section, Juan García Madero describes his involvement with Ulises and Arturo, ever-promising writers who lead a literary group that espouses radical and erratic literary doctrine. In the end, the group is whittled down to these same three characters and a prostitute they are attempting to protect as they quixotically attempt to find a nearly forgotten poet of the 1920s avant-garde. Their only evidence of her work is a sheet of indecipherable writing. In the middle, various voices narrate the destinies of Ulises and Arturo. Contradictions and coincidences entice the reader to attempt to weave together the story of their lives while making it impossible to connect the warp and weft of their tapestry. The novel *2666* (2004) was unfinished and published posthumously, but critics concur that its dense allusions and postmodern devices identify ethical dilemmas of literature confronted by the world's horrors.

CONCLUSION

The push and pull between local and cosmopolitan communities needed thoughtful answers as Southern Cone political beliefs and national literatures evolved. Each novelist was called upon to write according to his conscience and to develop the gifts of Spanish in the Americas. The growth of the Southern Cone novel relied, like most

literature, upon an individual mustering his widest resources to confront the most important dilemmas at hand.

BIBLIOGRAPHY

- Bioy Casares, A. (1983), *Invencción de Morel*.
 Kantaris, E.G., (1995), *Subversive Psyche*.
 King, J. (1987), "Augusto Roa Bastos," in *Modern Latin American Fiction*.
 Kristal, E. (1993), "Dialogues and Polemics," in *Sarmiento and His Argentina*, ed. J.T. Criscenti.
 Weiss, J. (2002), *Lights of Home*.

Space

JULIE O'LEARY GREEN

At least since Plato and Aristotle, space in narrative has often been seen as ornamental rather than functional, relegated disparagingly to the realm of the descriptive or the merely representational (as opposed to the artful or rhetorical) and subordinated to plot and character. It is often seen as non-purposeful or as mere amplification, and within discourse on the novel it is considered unnecessary (although not useless): most definitions of narrative include tellers and events, but none includes any mention of or relation to space.

Despite this bias, the nineteenth century saw a new interest in narrative space on the part of both authors and scholars. Developments in sociology, biology, and ANTHROPOLOGY affirming the individual's dependence on his or her environment influenced aesthetic theories of fiction. These ideas about the role of space in the novel continued to develop throughout the twentieth century and into the twenty-first. Importantly, the human-centered bias remains: while there has been more interest in the ways in which narrative space functions, character still remains the nexus around which studies of space revolve.

Today, space is thought to function in the novel in significant ways: it is a frame of action (a place in which things happen), it conveys thematic information, it reveals information about characters and character relationships, it can influence reader expectations, and it is an active partner in the governing of how narrative progresses (i.e., certain spaces allow certain events to occur while other spaces prohibit events).

SPATIAL FORM

In 1766, eighteenth-century dramatist and philosopher Gotthold Ephraim Lessing (1729–81) characterized literature as a temporal art, opposed to spatial arts like painting and sculpture (see TIME). His argument centered on the assumption that an artwork's form is dependent on its manner of perception. Centuries later, the novel is still considered an inherently temporal medium. Objects and spaces must be incorporated into a temporal sequence in order to be represented in narratives; spatial structures must be transformed into temporal ones.

Beginning with his 1945 essay "Spatial Form in Modern Literature" and continuing for the next three decades, American literary scholar Joseph Frank broke new critical ground with his argument that a hallmark of modernist literature was that it was meant to be apprehended spatially rather than sequentially (see MODERNISM). He argued that because language proceeds in time and literature is naturally temporal, modernist writers like James Joyce, Gustave Flaubert, Djuna Barnes, and Marcel Proust had to find new ways to manipulate novelistic form in order to express their desired simultaneity. The result is that meaning, relationships, and references are arranged across the narrative without respect to temporal sequence and must be connected by a reader and viewed as a whole before meaningful patterns emerge.

Frank's essay drew responses from prominent literary scholars who returned to Lessing's claims and argued that the mode of perception (reading from beginning to end) makes modernist plots no less temporal than any others. Other critiques have centered on the fact that Frank's argument is not actually about space in the novel but rather an alternative reading process.

One frequently invoked theory of space in the novel that both contends with the temporal nature of narrative and focuses on literal spaces is Mikhail BAKHTIN'S (1981) theory of the chronotope, which states that space and time are mutually constitutive and interactive, comprising a single unit of analysis for studying literary texts. Chronotopes are narrative hubs where meanings are housed. They highlight the intrinsic connectedness of time and space. For Bakhtin, the road narrative, in which time spent means distance covered, is the clearest textual expression of the chronotope. It not only illustrates the interconnectedness of time and space but also provides narrative potential: potential for encounter, collision (i.e., of characters who might not have come in contact if they had not met at that exact time and place), and change across time and space.

The French philosopher Michel de Certeau makes a similar claim in "Spatial Stories" (1987), where he argues that every story is a travel story. He also argues for the necessity and ubiquity of boundaries, claiming that stories authorize the establishment, displacement, or transcendence of limits and that they set in opposition two movements that intersect.

All of these arguments about spatial form implicate plot. They all implicitly or explicitly argue that spatial form relates to the temporal organization of words and events in the novel, whether spatial form is created by temporal fragmentation (disjointed plots), as in Frank's understanding; is mutually constitutive of plots and meaning, as

in Bakhtin's understanding; or is what actually drives the plot of a narrative forward toward climax and conclusion, as in de Certeau's understanding.

TYOLOGIES OF SPACE

Analyses of spatial form tend to focus on the overall shape and progression of a novel. However, such analyses do not provide a way of studying and comparing specific representations of space in the novel. In other words, we must distinguish between spatial form and space as a formal element. Ruth Ronen has characterized two primary ways of classifying types of narrative space. In the first, space is understood in terms of its proximity to characters; in the second, it is understood according to its factuality.

Proximal and distant spaces

On this scale, spaces are classified according to how close and/or how accessible they are to characters in the narrative present. The most immediate narrative space is setting: the place where characters in the narrative present interact and where story-events take place. Setting is considered continuously relevant, capable of extending over a sequence of actions, events, and situations without needing to be rearticulated. As a result, setting is well suited to discussions of why certain authors, in certain texts or certain moments within texts, make widely differing choices about how, when, why, and how much to articulate setting.

Spaces near characters in the narrative present and accessible to them via their senses are called secondary spaces. In Toni Morrison's *Beloved* (1987), the narration follows Sethe in the kitchen as a group of women assemble within earshot outside; the kitchen is the setting, and outside is a secondary space. Secondary spaces allow myriad possibilities for overhearing,

misunderstanding, misdirecting, etc., and thus can directly influence a novel's plot.

Fictional spaces might also be nearby but inaccessible to the characters in the narrative present. This inaccessibility may be provisional, thus linking inaccessible frames to narrative progression (meaning that something must happen for characters to gain access, and often gaining access causes other things to happen). In Charlotte Brontë's *Jane Eyre* (1847), the third floor of Mr. Rochester's mansion is an inaccessible space for most of the novel; the moment when it becomes accessible constitutes a significant climax, the result of which is a complete reorganization of the household and all of the relationships therein.

Fictional spaces might also be geographically or temporally distant from the present setting. When Marlow sits aboard the *Nellie* at the beginning of Joseph Conrad's *Heart of Darkness* (1902) and tells of his trip up the Congo River, that river is geographically distant. The events he retells are temporally distant.

Finally, narrative space can have an ambivalent degree of immediacy. Frequently, novels make reference to generalized or nonspecific spaces. Examples of this include references to "the world" or "the horizon."

Factual and counterfactual spaces

Fictional space can also be classified according to its degree of actuality, where actuality does not refer to the space's verisimilitude (see *DECORUM*) but rather to whether the characters in question are actually in those spaces. Actual spaces include all of the frames explained above; and non-actual spaces (these might be potential or hypothetical spaces, counterfactual spaces, and nonfactual spaces) are spatial articulations that are subordinated to future-tense sentences, imperatives, conditionals, questions,

negative sentences, predictions, or the subjunctive mood. In Leslie Marmon Silko's *Ceremony* (1977), the narrator explains Tayo's thought processes as he flees two men on horseback: "They were about a mile away when he first saw them, so he would try to find a deep grove of pine where he could stay until they passed" (198). He never does find a grove, so it remains a hypothetical space. Often, the non-actual space matters less than whether it remains non-actual or is eventually actualized.

Non-actual spaces have various relations to the actual space of the narrative. They can have ramifications for interpreting a novel's overall meaning or thematic bent by establishing binaries, by making or encouraging an evaluation, or by conveying emotion, for example.

SPACE AND CHARACTER

As these typologies reveal, what makes space interesting to most authors, readers, and scholars is its relation to narrative agents. Classifying a particular space depends on which characters the narrative follows in the narrative present.

Additionally, descriptions of fictional spaces are often used to provide information about character. In the novels of Henry James, as many have noted, the homes of main characters often function as metaphors for their owners. Miss Birdseye's apartment in *The Bostonians* (1886) articulates her identity with its refusal to conform to Victorian standards; her somewhat muddled and crowded home is seen as an expression of her character.

MOTIVATION AND FOCALIZATION

How descriptions of space are inserted can also tell us about character. Because setting

and other narrative spaces do not require constant articulation, understanding the motivation for insertions of spatial descriptions can yield insight into characters and narrators. As Mieke Bal points out, the manner of description of a given fictional passage characterizes the rhetorical strategy of the narrator.

Bal lays out three primary motivations for spatial description in the novel. The most obvious (because it is voiced by a character) is motivation via speaking: these are spatial articulations that occur in DIALOGUE (“I went here” or “His house was very large”). Motivation via speaking can help us understand a character’s attitude toward space.

Motivation via action occurs when an actor carries out an action with an object, e.g., a character rides a bicycle. The very act of riding that bicycle motivates a description of the bicycle and provides a justification for any related spatial description. This kind of spatial description can, but need not, reveal something about the character’s relationship to his or her space.

Motivation via looking occurs when the narration (not the dialogue) describes what a character sees or saw. The narrator of Ian McEwan’s *Atonement* (2001) follows Briony as she stands at a window and sees “a scene that could easily have accommodated, in the distance at least, a medieval castle. Some miles beyond the Tallises’ land rose the Surrey Hills and their motionless crowds of thick crested oaks, their greens softened by a milky heat haze” (pt. 1, chap. 3). This description of the landscape is motivated by the act of Briony’s looking.

Spatial articulations motivated by looking are the most common and often the least noticeable kinds of descriptions of space. They are also the motivations that, so far, have yielded the most significant understanding of the relationship between characters and the fictional spaces in which they interact. This is because spatial descriptions

motivated by looking are often a case of focalization (see NARRATIVE PERSPECTIVE). Focalization refers to the perspective from which particular events or elements of the narrative are narrated. When fictional spaces are described via the narration (i.e., via looking), places are linked to certain points of perception: how space is articulated tells us about the ways in which characters bring their senses to bear on space, especially as they see, hear, and touch their surroundings. In the *Atonement* example, the narrator adopts the limited point of view of one character (Briony) not only to motivate a description of the scene she is about to witness but also to portray Briony’s particular mindstyle. How she sees the landscape tells us about how she sees the world.

SPACE AND THE READER

Recent work in COGNITIVE narratology has explored other possible functions of space. Here, we find not only an interest in the relationships among places and agents in the narrative world but also an interest in the interaction between *readers* and the spaces of narrative. David Herman, Monika Fludernik, Marie-Laure Ryan, and others have suggested that space functions in narrative at the same time that narrative helps us create mental representations of space. Thus, story-telling necessitates modeling and enabling others to model spatially related entities.

The concept of deixis is important in this account of fictional space. Deixis is any reference to the context of the production of an utterance (as in the expression “come over *here*”). Herman argues that narratives, including novels, prompt readers to relocate from their own here and now to the here and now of the storyworld. Others, like Ryan, argue that paying attention to spatial

deictics allows us to construct mental maps of the world inside the novel. These cognitive maps, which may be rudimentary or elaborate depending on both the reader and the amount of spatial data provided in the novel, can help readers orient fictional characters, places, and positions in terms of relational systems rather than geographically located points, which in turn can help them develop thematic readings of characters or places in spatial relationships. Recent research suggests that readers may construct cognitive maps of fictional space as background for understanding plot, character motivation, and moral or ethical issues articulated in the text. Furthermore, the extent to which readers compare their mental models of fictional spaces to their mental models of real-world spaces is also a focus of recent literary inquiry, particularly under the rubric of possible-worlds theory (see Ronen, 1994).

SEE ALSO: Metafiction, Narrative Structure, Rhetoric and Figurative Language, Story/Discourse.

BIBLIOGRAPHY

- Bakhtin, M. (1981), "Forms of Time and the Chronotope in the Novel," in *Dialogic Imagination*, trans. C. Emerson and M. Holquist, ed. M. Holquist.
- Bal, M. (2002), *Narratology*, 3rd ed.
- de Certeau, M. (1984), "Spatial Stories," in *Practice of Everyday Life*, trans. R. Rendell.
- Fludernik, M. (1996), *Towards a "Natural" Narratology*.
- Frank, J. (1963), "Spatial Form in Modern Literature," in *Widening Gyre*.
- Frank, J. (1978), "Spatial Form: Some Further Reflections," *Critical Inquiry* 5:275–90.
- Herman, D. (2001), "Spatial Reference in Narrative Domains," *TEXT* 21(4):515–41.
- Herman, D. (2002), *Story Logic*.
- Lessing, G.E. (1962), *Laocoön*, trans. E.-A. McCormick.
- Ronen, R. (1986), "Space in Fiction," *Poetics Today* 7.3:421–38.
- Ronen, R. (1994), *Possible Worlds in Literary Theory*.
- Ryan, M.-L. (2003), "Cognitive Mapping and the Representation of Narrative Space," in *Narrative Theory and the Cognitive Sciences*, ed. D. Herman.

Speech Act Theory

KIM EMERY

Speech act theory names a body of thought in which the use of language—a speech act—is conceived as a kind of action within the material world, rather than a description of or a reference to a discrete and exterior reality. Although anticipated in different ways by the works of Scottish philosopher Thomas Reid (1710–96), American pragmatist C. S. Peirce (1839–1914), and German phenomenologists Edmund Husserl (1859–1938) and Adolf Reinach (1883–1917), among others, speech act theory is most famously associated with Oxford philosopher J. L. Austin (1911–60). In a series of lectures delivered at Harvard in 1955 and published posthumously in a volume called *How to Do Things with Words*, Austin outlined what has since come to be considered the first systematic elaboration of speech act theory.

In these lectures, Austin begins his discussion of the speech act by distinguishing between two types of utterances that, despite their resemblance in grammatical form, may be seen to serve quite distinct functions. The statements studied by philosophers of language, on the one hand, are taken to describe an external reality or to report a fact. Such statements may be categorized as "descriptive" or, as Austin prefers, "constative," and are subject to evaluation on the basis of their truth or falsity.

However, a second type of utterance may also assume the first-person singular present-indicative active form of simple declarative sentences without submitting to such characterization. These utterances, which Austin terms “performative,” do not make the kind of claim that can be tested against an external reality, and hence cannot be classified as simply true or false; instead, utterances of this sort perform an action, or are part of the performance of an action, that “is not normally thought of as just saying something” (7). Austin’s examples include such actions performed in words as betting, bequeathing, promising, marrying, and christening. To say “I bet . . .,” “I promise . . .,” or “I christen . . .,” in certain circumstances, is indeed to bet, promise, or name; the utterance itself accomplishes the act, rather than reporting on or referring to an act accomplished elsewhere or by other means.

Austin is careful to explain that the requirement of specific circumstances or, indeed, of correlative supporting actions does not vitiate the performative aspect of the utterance itself; hence, the bet must be accepted, the will must be signed and notarized, the minister officiating a marriage must be duly authorized and the participants eligible—but the fact remains that the words themselves are not only necessary to the act, but in an important sense are understood to themselves constitute the act. More importantly, he contends that the intention or inward state of the interlocutors is not critically at issue: the performative does not report on an inward act of, for example, committing to a marriage; one may be duly and legally married whether one “means” one’s vows or not. A promise may be given in bad faith, but this does not mean that no promise has been made. Although such performatives may “misfire” in a variety of ways—on which Austin elaborates at some length—misreporting on an

inward state is not among them, as the function of the performative is not to reflect an independent reality (either inward or exterior), but rather to act on the reality within which it is enmeshed. A performative is neither true nor false, but rather, in Austin’s words, felicitous or infelicitous, happy or unhappy; it is evaluated not in terms of veracity, but in terms of performative force.

Austin further categorizes such explicit performatives as “I bet . . .,” or “I promise . . .,” as illocutionary acts, which he describes as actions accomplished *in* saying something and reliant on convention for their performative force. These he distinguishes from the more familiar sense in which saying something is already doing something: i.e., making sounds (the phonetic act) in a certain order (the phatic act) with a certain meaning (the rhetic act). This he calls the locutionary act, a concept that encapsulates “the full normal sense” of saying something (94) without excluding the possibility of the utterance exerting a further performative force. To these two categories Austin adds a third: the perlocutionary act, which is accomplished *by* saying something, or as an effect of saying something, but not performed in and of the utterance itself. Hence, the illocutionary act of a promise being made is accomplished in the utterance of promising, provided only that the most minimal conditions are met (e.g., that uptake is secured and the act is not voided by virtue of going unheard). The consequences of the promise, in contrast to the act itself, constitute its perlocutionary effect: the addressee may be thrilled by a promise, or unimpressed; this does not affect the illocutionary force of the promise, but it does make for a different perlocutionary act. There is in perlocution a certain gap or noncoincidence between utterance and effect that is not characteristic of illocution and its

force. Although the coincidence of an illocutionary act and its performative force is merely prototypically and not necessarily temporal, it is in essence conventional and therefore inescapable; the relation of a perlocutionary act to its consequences, in contrast, is not in essence conventional and therefore not inevitable, however likely or predictable those consequences may be. Austin is clear that “there cannot be an illocutionary act unless the means employed are conventional”; however, as he also acknowledges, “it is difficult to say where conventions begin and end” (119).

Austin’s method is to work from observations offered as “provisional, and subject to revision” (4n1). Just as the illocutionary act is revealed to have its locutionary and, inevitably, perlocutionary dimensions, the explicit performative that constitutes its prototypical appearance cannot in the end be cleanly separated from the constative. Illocutions involve reference and sense, and constative utterances exert performative force. Indeed, Austin concludes that “in general, the locutionary act as much as the illocutionary is an abstraction only: every genuine speech act is both” (147). The perlocutionary effects of a locution, moreover, are unpredictable and in theory infinite. In working through these mutual entailments so thoughtfully, Austin thoroughly undermines the “descriptive fallacy” for which he faults “both philosophers and grammarians” (2–3)—i.e., the idea that the primary function of language is mimetic or referential and its fundamental form, therefore, the declarative statement. By refusing to misrecognize abstraction for actuality, Austin reimaged the relation of language to the material world and offered a powerful model that would be taken up by deconstructionists, literary scholars, and GENDER theorists—as well as philosophers of language—in years to come.

LITERARY SPEECH ACTS

Despite his insistence on separating questions of inward states from the functional operation of illocutionary acts, Austin limited his discussion in these lectures to the “normal use” of language in “ordinary circumstances”—explicitly excluding from consideration, for example, theatrical and literary utterances, which he categorized here as “*parasitic*” (22). The grounds for this exclusion were soon questioned, however, by literary scholars concerned with the conventional, contextual, and social dimensions of literature. In a series of essays in the early 1970s for example, Richard Ohmann argued that literature comprises a kind of “quasi-speech-act,” distinct from nonliterary language but dependent nevertheless on readers’ immersion in sociality. In the late 1970s Mary Louise Pratt would reject categorical distinctions between ordinary and literary language altogether, contending that Ohmann’s qualification itself relies on a misapprehension of ordinary language as lacking in ostensibly literary qualities on which it often depends. Drawing on the pragmatics of Austin’s contemporary H. P. Grice (1913–88) and the work of sociolinguists including William Labov, Pratt offered a theory of literature as a linguistic activity continuous with oral narrative and imbedded in social interaction. Others, including Monroe C. Beardsley (1915–85), Seymour Chatman, and Marcia Eaton, have examined the use of speech acts within works of literature.

The engagement most important to contemporary theory, however, would come from philosopher Jacques Derrida (1930–2004), who proposed that the distinction between “normal” and “parasitic” uses is impossible to maintain because it is in the nature of language to be quoted. Against the “pure singularity” attributed to Austin’s speech act proper—the illocution

fully present to itself and fully congruent with its performative force—Derrida posits a principle of general iterability, contending that ordinary language is itself characterized by a “structural parasitism” (17). In this view, there can be no “pure” performative because each speech act relies for its success on the citation of an iterable (endlessly repeatable) model; only by invoking a recognizable formula—i.e., by citing a convention—can an illocution exert a performative force. Moreover, while convention must be cited, it can never be fully realized or exactly repeated; reiteration is required, but—strictly speaking—impossible. What Austin calls “the total speech act in the total speech situation” (52), the object of his study, can never be fully or finally defined, because the total speech situation—the act’s salient context—is not “exhaustively determinable” (18). In citing an iterable model, the performative is not fully present to itself, but neither can it replicate in toto “the total speech act in the total speech situation” of any prior iteration or ideal model. Hence, Derrida concludes, citationality or parasitism is not a “special circumstance” to be held in abeyance or excluded from consideration, as Austin posits, but is instead integral to “ordinary language” as such—its “internal and positive condition of possibility” (17). Just as Austin decenters the constative, suggesting that language is not secondarily or peripherally performative, social, and materially situated, but fundamentally so, Derrida deconstructs the presumed primacy of so-called ordinary language, revealing the citationality at its core and arguing that Austin’s a priori separation of normal use from special circumstances imputes to language “an ethical and teleological determination” in fact imposed by the assumptions of analytic philosophy (17).

Derrida’s contention that this principle of iterability introduces a philosophically significant gap or “dehiscence” between the

intention animating an utterance and the act of utterance has been strenuously challenged by American analytic philosopher John Searle, an important interpreter of Austin noted for his taxonomy of illocutionary acts, among other contributions. Searle maintains that iterability functions in service to intention, and he insists that the “parasitic” relation of literary speech acts to ordinary language is “fairly obvious” (1977, 204). Searle suggests that Derrida misreads Austin’s merely strategic segregation of parasitic speech acts from normal use as a “metaphysical exclusion” (205). In maintaining that intention is the “heart” of the speech act (207–8), however, Searle has drawn the criticism that the role of intention is less central to Austin than he implies. Similarly, Derrida’s decentering of intention does not entail an “essential absence” in the sense that Searle contends (207). Instead, “the category of intention will not disappear; it will have its place, but from that place it will no longer be able to govern the entire scene and system of utterance” (Derrida, 18).

Whereas Searle assumes that a relation of logical dependency obtains between literary language, on the one hand, and the ordinary uses of language on which it is presumably based, on the other, Derrida observes that the rules governing their relation are “not things found in nature,” but human inventions—conventions “that, in their very normality as well as in their normativity, entail something of the fictional” (134). In an important amplification of this insight, psychoanalytic literary critic Shoshana Felman elaborates Searle’s own focus on the promise as the prototypical illocution into an extended meditation on the role of seduction in language and literature. The speech act, she suggests, finesses the disjuncture between “the order of the act and the order of meaning, the register of pleasure and the register of knowledge” by creating a

separate, self-referential linguistic space and sidestepping the entailments of absolute truth (31). Refiguring the performative as a ritual of desire, Felman restores to the act an intentional dimension while respecting the elements of fictionality and noncoincidence at its core.

For Felman, literary language comes to serve as “the meeting and testing ground of the linguistic and the philosophical, the place where linguistics and philosophy are interrogated but also where they are pushed beyond their disciplinary limits” (11).

GENDER THEORY AND PERFORMATIVITY

Speech act theory sketches both a slippage and an entanglement between language and the material world that has proven especially important to QUEER and GENDER theorists in recent years. Feminist philosopher Judith Butler famously observed that gender represents a copy for which there is no original (1991), an insight elaborated in her influential analyses of gender as performative (1990, 1993). Like Derrida, she suggests that the putatively parasitic, peripheral, and extra-ordinary performance may reveal an absence at the core of the “ordinary”—arguing, for example, that the practice of drag within queer subcultures points not to a derivative or imitative logical dependence of homosexuality on heterosexuality, but to the performative nature of gender as such (1990). Indeed, Butler contends that the sexed body itself is not the origin of gender expression, but a kind of back formation projected by the compulsory practice of gender performativity (1993). In undertaking to examine the social, pragmatic, and conventional dimensions of sex and gender, queer theorists such as Butler and Eve Kosofsky Sedgwick (1950–2009) have drawn extensively on speech act theory to sketch

the noncoincidence of intention—understood in the philosophical sense to encompass both will and meaning or referentiality—and actuality in the enactment and experience of gendered being. For Butler, it is the inevitable gap between performative citations and the ideal and iterable model that compels the endless reiteration of gender while simultaneously obscuring its normative and compulsory dimensions. For queer and gender theorists generally, speech act theory has provided a supple and productive model for thinking through the entanglements of language, knowledge, and materiality, while also revaluing marginal and non-normative realities. Perhaps most importantly, speech act theory acknowledges and helps to expose the ethical and teleological determinations conventionally obscured by “ordinary language” and the constative presumptions of philosophical traditions on which its identification has historically been predicated.

SEE ALSO: Dialogue, Discourse, Feminist Theory, Linguistics, Rhetoric and Figurative Language.

BIBLIOGRAPHY

- Austin, J.L. (1962), *How to Do Things with Words*.
 Butler, J. (1990), *Gender Trouble*.
 Butler, J. (1991), “Imitation and Gender Insubordination,” in *Inside/Out*, ed. D. Fuss.
 Butler, J. (1993), *Bodies That Matter*.
 Derrida, J. (1988), *Limited Inc*, trans. S. Weber and J. Mehlman.
 Felman, S. (1983), *Literary Speech Act*, trans. C. Porter; reiss. 2002 as *Scandal of the Speaking Body*.
 Ohmann, R. (1971), “Speech Acts and the Definition of Literature,” *Philosophy and Rhetoric* 4:1–19.
 Pratt, M.L. (1977), *Toward a Speech Act Theory of Literary Discourse*.
 Searle, J. (1969), *Speech Acts*.
 Searle, J. (1977), “Reiterating the Differences: A Reply to Derrida,” *Glyph* 1:198–208.

Sedgwick, E. (1993), "Queer Performativity," *Gay and Lesbian Quarterly* 1:1–16.

Speech, Represented *see* Dialect; Dialogue; Discourse; Narration

Stacked Narrative *see* Frame

Stanzel, Franz *see* Narrator

Story/Discourse

RYAN KERNAN

The concepts of *histoire* (story) and *discours* (discourse) constitute the fundamental elements of the formalist (see **FORMALISM**) theory of narrative. Story resides in the content, the chain of events (the actions or happenings), and what is often labeled the "existents": the characters, settings, and the objects or persons that serve as a background for these events. Discourse refers to the means by which the content is communicated. In short, the story is that which is depicted, and the discourse is the actual narrative statements, the form of expression. While the distinction between story and discourse is most often associated with practitioners of narratology (the study of narrative) who can be classified as formalist, to a lesser extent it has also been incorporated into the arguments of structuralist and poststructuralist theorists of narrative (see **STRUCTURALISM**). Indeed, as Jonathan Culler emphasizes, most strands of narratology are united by the recognition that any theory of narrative requires a distinction between story and discourse.

Conventional theorizing about the story/discourse dichotomy is said to begin with the Russian formalists, and in particular with Boris Tomashevskii's *Theory of Literature* (1925) and Vladimir Propp's *Morphology of the Folktale* (1928). The Russian formalist employed the concepts of *fabula* (story) and *siuzhet* (discourse) to

distinguish between the raw material of literature and its aesthetic rearrangement in narrative fiction. The basic difference between the two stems from their contrasting treatment of chronology (see **TIME**) and causality (see **PLOT**). Usually, the story is constituted of what is narrated as a chronological sequence of logically and causally related themes, motives, and plot lines that explain why its events occur. Discourse, in turn, describes the stylistic choices that determine how the text appears before the reader.

The Russian formalist articulation of this dualistic distinction has certain antecedents in Aristotle's *Poetics* as well as in the third book of Plato's *Republic* (ca. 380 BCE), but it came to the fore in continental narrative theory during the late 1960s in the work of Tzvetan Todorov and via the structural LINGUISTICS of Émile Benveniste. Nevertheless, it is most commonly associated with the work of the French literary theorist Gérard Genette and with the arguments contained in his 1976 essay "Frontières du récit" ("Boundaries of Narrative"). In the case of Genette, however, the double-tiered base structure of narrative levels becomes tripartite. In addition to the division between story and discourse, Genette employs the term "narration" to forefront the transaction between narrator and narratee. The *récit* (narrative discourse) is the actual text produced by the act of narration, and it conveys the story of the narrative. His categories of *temps* (tense) and *mode* (mood), in turn, describe the relationship between the levels of story and discourse on the surface level of the text. Here, past-tense verbs delivered by a third- or first-person narrator constitute story, while discourse is marked by the present tense of **DIALOGUE** or reported speech.

Given Genette's tripartite structure and the fact that story disappears—in his (markedly Hegelian) vision of the novel's

future—leaving a fully emancipated discourse, it is somewhat curious that he is the theorist most commonly associated with the binary of story/discourse as it is rigidly employed elsewhere. This curiosity, though, is a testament to the enormous influence that his thought exerted over theorists writing both alongside him and in his wake. Several other influential narratologists, most notably Seymour Chatman, extrapolate the phenomenon of voice from the textual level and adhere to the aforementioned bipartite schema. These different uses of the terms story and discourse in narratology—the first where story and discourse correspond respectively to what the text is about and to how it is told—and the second, Genette's, has caused a considerable amount of confusion within the field itself.

The enduring importance of Genette's "Frontiers of Narrative" with respect to this dualistic binary is, in part, a function of the fact that his essay excavates Classical arguments concerning EPIC poetry, dramatic poetry, *mimesis* (imitation), and *diegesis* (narrative) not only to provide illustrative case examples of the differences between story and discourse, but also to qualify both as aspects of narrative. To support this bold assertion about the domain of narrative and to draw his readers' attention to the fact that, from time immemorial, the distinction between story and discourse has been of the utmost concern for theorists of literature, Genette points to two contradictory theorizations about the relationship between narrative and imitation that find their origin in Antiquity. The first frames narrative as the antithesis of imitation, and is exemplified by Aristotle's contention that narrative poetry (the poetry of *diegesis*) and dramatic poetry (the poetry of *mimesis* or the direct representation of events by actors speaking before the public) should be considered separate and distinct modes. The second frames imitation as one of the modes of narrative, and

originates in Plato's *Republic* wherein Plato makes the distinction between *logos* (that which is said) and *lexis* (the manner of speaking), which can be further divided into *mimesis* (imitation) and *diegesis* (instances where the narrator speaks in his own name).

Genette subscribes to neither of these traditions, but nevertheless turns to Plato's reading of bk. 1 of the *Iliad* to delineate story (or simple narrative) from discourse (or imitation). With respect to this distinction, Genette's example is canonical and worthy of full citation:

By simple narrative Plato means all that the poet relates "in speaking in his own name, without trying to make us believe that it is another who speaks." Thus in Book I of the *Iliad* Homer tells us of Chryses: "He came to the Achaeans' great boats to buy back his daughter, bringing a tremendous ransom and bearing the bands of Apollo the archer on the golden staff in his hand. He entreated all the Achaeans, but especially Atreus' sons, two fine military leaders." In contrast, the next verses consist in imitation, because Homer makes Chryses himself speak, or rather Homer speaks, pretending to have become Chryses, and "strives to give us the illusion that it is not Homer speaking, but really the old man, Apollo's priest." Here is the text of the discourse of Chryses: "Descendants of Atreus, and you also, well-armed Achaeans, may the gods, dwellers on Olympus, allow you to destroy Priam's city and then to return without injury to your homes! But for me, may you also give me back my daughter! And for that, accept this ransom, out of respect to the son of Zeus, to Apollo the archer." But Plato adds that Homer could as well have continued his narrative in a purely narrative form by recounting the words of Chryses instead of quoting them. This would have made the same passage, in indirect style and in prose: "Having arrived, the priest implored the gods to allow the Achaeans to take Troy and to keep them from destruction, and he asked the Greeks to give him back his daughter in

exchange for a ransom and out of respect for the gods.” (2)

For many critics who distinguish story from discourse at the surface level of the text, this citation from “Frontiers of Narrative” describes sufficiently the difference between them. What “Homer tells us of Chryses,” or what the poet speaks “in his own name,” comprises a structural level of the surface text that can be labeled the story or the narrative. The portion of the text where dialogue intrudes, or where “Homer makes Chryses himself speak,” constitutes the elements of the text that can be identified as discourse. Indeed, Genette himself would concur with these designations.

What Genette finds troublesome about Plato’s reading of the *Iliad* is Plato’s assertion that what we have just labeled “story” and “discourse” (or, in Plato’s lexicon, *diegesis* and *mimesis*, the elements of *lexis*) can be adequately distinguished from *logos* (“what is said”). This is the case because to assume a distinction between “that which is said” and “the manner of speaking” in a work of fiction is to conceive of “poetic fiction as a simulacrum of reality.” Unlike a history or a landscape painting, a work of fiction does not necessarily have an event or landscape which is exterior to the artifact that represents it. The distinction between *lexis* and *logos* therefore posits a distinction between fiction and representation that is untenable, or—in Genette’s words—the distinction reduces “the object of the fiction” to “a sham reality awaiting its representation.” Hence, the very notion of imitation with regard to *lexis* is ephemeral at best—language can only perfectly imitate language. This, in turn, leads Genette to a startling, yet logical, conclusion that troubles both contradictory Classical theorizations of the relationship between narrative and imitation at their very core: in the literary realm, *mimesis* is *diegesis*.

Genette’s dismantling of the Classical theorization between “what is said” and the “manner of speaking” neither leads him to cast aside the distinction between the content of expression (story) and the “mode of expression” (discourse), nor does it prompt him to deny the representational function of narrative altogether. Rather, it leads him to propose a new understanding of *diegesis* (narrative) that subsumes story and discourse and that locates both on the surface level of the text. The fundamental difference between “story” (narrative) and “discourse” is, for Genette, that the former is objective and the latter subjective, but only in strictly linguistic terms. *Récit* (story) makes use of the third person and *discours* (discourse) the first. Where the former in its most “pure” incarnation is marked—ever since the advent of realism in the novels of Honoré de Balzac—by a desire to efface all reference to a narrator and to arrange events in some type of chronological order, the latter—in the presentation of reported speech or dialogue—forefronts its speaker and defines the present as the instant in which the discourse is held. Hence, for Genette, story and discourse are distinguishable by *temps* (tense) and *mode* (mood), and constitute the “semiological existence” of the literary narration which—insofar as literary representation is concerned—has no concrete referent outside the text.

For Genette, both story and discourse are always present (to varying degrees) in narration. Story may be conceived without discourse, but any such conception does not exist in the real world of texts. The same can be said of an independently conceived narrative of pure discourse. This, however, is where the symmetry ends. Story is a very particular, restrictive mode marked by a number of exclusions and conditions, and any intrusion of discourse into story—in Genette’s words—“forms a sort of cyst, easily recognized and localized.” The

slightest general observation, the slightest comparison, or even the tiniest adjective introduces an element of subjective discourse into story. In contrast, discourse does not have to answer to a concomitant demand of purity because it is, for Genette, “the natural mode of language” (12). Hence, although no novel of pure discourse yet exists, Genette sees it as a possibility for the novel’s future.

For both Genette and for theorists like Seymour Chatman who adhere to the bipartite schema of story and discourse, time plays a key role in distinguishing one entity from the other. This is the case for Genette not only because he distinguishes discourse from story by making recourse to tense and mood, but also because of his understanding of *diegesis* (narrative) that posits the existence of two types of literary representation that use time in different manners, narrative and descriptive. These two types do not have what Genette labels a “semiological existence” (description is not its own mode but rather an aspect of narration), but they do bring to light how temporality differs in different modes of literary representation. Narration, insofar as it is tied to actions and events, puts an emphasis on what Genette labels “the temporal and dramatic aspects of narrative.” Conversely, description suspends the flow of time because it “lingers over objects and beings considered in their simultaneity” (8). For theorists like Chatman, the analysis of narrative must also observe two time scales not because of the difference between description and narrative, but rather because the narratologist must distinguish between the inner time of the content (story time) and the outer time (discourse time), the time that it takes the audience to peruse the story. Chatman’s theorization of temporality in story and discourse differs markedly from Genette’s distinction between the temporality of narrative and

description. Nevertheless, it is worth noticing that here and elsewhere, the distinction between story and discourse consistently engenders questions about the different functions of time in the fundamental layers of narrative.

For many structuralists like Claude Bremond, story is distinguished from discourse as a layer of autonomous significance that can be isolated from the whole of the narrative message. This autonomous layer manifests in the same way regardless of the means of narrative conveyance, independent of the techniques that bear it along. Hence, story—in this formulation—may be transposed from medium to medium without losing its essential properties. For example, the subject of a novel may serve as the argument for a ballet. Whether it manifests in a novel, in a stage performance, in a piece of cinema, or even in a summary, it is the story that we follow. *Raconte* (that which is narrated) has its own *racontants* (story elements), and these elements do not correspond to words, images, or gestures but rather to the events, situations, and behaviors signified by them.

SEE ALSO: Metafiction, Narrative, Narrative Perspective, Narrative Technique.

BIBLIOGRAPHY

- Bal, M. (1985), *Narratology*.
 Benveniste, É. (1996), *Problèmes de linguistique générale*.
 Bremond, C. (1973), *Logique du récit*.
 Chatman, S. (1978), *Story and Discourse*.
 Culler, J. (1981), *Pursuit of Signs, Semiotics, Literature, Deconstruction*.
 Genette, G. (1976), “Boundaries of Narrative,” trans. A. Levonas, *New Literary History* (1):1–13.
 Genette, G. (1980), *Narrative Discourse*.
 Miller, J.H., ed. (1970), *Aspects of Narrative*.
 Prince, G. (2003), *Dictionary of Narratology*.
 Todorov, T. (1965), *Théorie de la littérature*.

Stream of Consciousness *see* Psychological Novel

Structuralism/ Poststructuralism

DAVID HERMAN

Theorists working under the auspices of both structuralism and poststructuralism have developed ideas of broad relevance for the study of the novel. Although they evolved from a common heritage of concepts—in particular, those associated with Saussurean language theory, with its bipartite analysis of the sign into signifier and signified and its account of language as a system of differences—structuralist and poststructuralist approaches rely on different analytic procedures and set themselves contrasting investigative goals. Notably, whereas structuralism begins from the premise that cultural practices of all sorts are grounded in rule-systems that are subject to conscious scrutiny as well as unconscious mastery, poststructuralism is a version of antifoundationalism, i.e., skepticism concerning the existence (or accessibility) of ultimate foundations for knowledge, bedrock truths that subtend and guarantee the process of interpretation (Singer and Rockmore).

Having reached its heyday in the 1960s and 1970s, structuralism openly aims for explanatory reduction; it distinguishes between metalanguage and object-language, recasting ostensibly diverse textual phenomena (e.g., different novelistic genres, or novels originating from different periods and cultural traditions) as manifestations of a shared underlying code or structure (Jakobson). Thus, the early narratologists participated in a broader structuralist revolution when they sought to use Saussurean LINGUISTICS as a “pilot-science” for studying narrative in all of its many guises. Narratologists such as

Tzvetan Todorov, Roland Barthes, Claude Bremond, Gérard Genette, and Algirdas Julius Greimas adapted Saussure’s distinction between *parole* and *langue* to construe particular stories as individual narrative messages supported by an underlying semiotic code.

And just as Saussurean linguistics privileged code over message, focusing on the structural constituents and combinatory principles of the semiotic system of language rather than on situated uses of that system, structuralist narratologists privileged narrative in general over individual narratives, emphasizing the general semiotic principles according to which basic structural units (characters, states, events, actions, and so forth) are combined and transformed to yield specific narrative texts. In this context, Genette’s work has been especially influential for research on the novel. In particular, *Narrative Discourse*—with its account of narrative temporality under the headings of order, duration, and frequency; its distinction between narration and focalization, voice and vision; and its taxonomy of narrative levels (extradiegetic, intradiegetic, hypodiegetic) and voices (homodiegetic, autodiegetic, heterodiegetic)—suggests that the distinctiveness of a given text can be captured by studying how it recruits from a common stock of narrative design principles (see DISCOURSE).

By contrast, poststructuralism makes a case for the irreducible specificity and heterogeneity of texts, their limitless semantic productivity or capacity for meaning generation, including their ability to generate incompatible interpretations. The goal for poststructuralists is not to partition the textual field into particular classes or kinds (e.g., narrative, argument, or instruction), each defined by a closed system of features and principles, but rather to demonstrate how a given text submits itself only more or less to the law of any particular genre

(Derrida), orienting itself to multiple generic norms at the same time. From this perspective the domain of novelistic discourse overlaps with those of philosophical, psychological, and other “nonliterary” discourses, jeopardizing the very opposition between literary and nonliterary texts, and for that matter between the object-language of fictional texts and the critical metalanguages that might be used to explicate them. Yet poststructuralist theorists, far from engaging in an anything-goes *modus operandi*, rely on specific, recurrent procedures for analysis. For example, deconstructionists working in the Derridean vein seek to reveal how texts signal the collapse of binary oppositions on whose force and integrity the texts simultaneously insist; those working in the tradition of Paul de Man highlight how a text’s rhetorical profile (the tropes it deploys) can be at odds with its explicit themes or overt semantic content. Thus, in these and other varieties of poststructuralism (e.g., Jacques Deleuze and Félix Guattari’s schizo-analytic account of literary and cultural phenomena in terms of de- and reterritorialized flows of desire), a species of explanatory reduction can be detected, however different in style or purpose from that informing structuralist analyses.

THE CASE OF ROLAND BARTHES: A SCIENCE OF THE TEXT?

As one of founding practitioners of structuralism in France, Roland Barthes, in his early writing, examined cultural phenomena of all sorts through the lens of Saussure’s structural linguistics (Culler, Dosse). Barthes’s *Mythologies* (1972) characterized diverse forms of cultural expression (advertisements, photographs, museum exhibits, wrestling matches) as rule-governed signifying practices or “languages” in their own right. In his classic 1966 essay “Introduction

to the Structural Analysis of Narratives,” published as part of the special issue of the journal *Communications* that effectively launched structuralist narratology, Barthes adopted the same approach to narrative practices in particular. He used Ian Fleming’s James Bond novels to explore the nature and distribution of fundamental narrative units, and more generally to outline a method of narrative analysis based on hierarchically arranged levels of description (spanning functions, actions, and, at the highest level, narration).

By the time he published “The Death of the Author” in 1968, however, Barthes had begun to speak about literary discourse in a very different way. Resisting the use of words like “code” and “message” as terms of art, and reconceiving texts as gestures of inscription rather than vehicles for communication and expression, he had come to embrace a Derridean view of the text as “a tissue of signs, an imitation that is lost, infinitely deferred” (147). The text is, as Barthes now put it, “not a line of words releasing a single ‘theological’ meaning . . . but a multi-dimensional space in which a variety of writings, none of them original, blend and clash” (146). The scientific decoding of messages has given way to the interpretative disentanglement of strands of meaning, “rendering illusory any inductive-deductive science of texts—no ‘grammar’ of the text” (1997c, 159). Barthes here disavows the possibility of a science of the text that just a few years earlier he had, if not taken for granted, assumed as the outcome toward which structuralist research was inexorably advancing.

Barthes’s autocritique of structuralism, which would eventuate in the publication of *S/Z* (1974), was part of a broader reaction against structuralist assumptions and methods articulated by commentators as diverse as Hélène Cixous, Jacques Derrida, Michel Foucault, Julia Kristeva, Jacques Lacan, and

Jean-François Lyotard. Because of Barthes's uniquely double identity, as one of the world's foremost practitioners first of structuralism and then of poststructuralism, his revolution in thinking can be viewed as emblematic of this larger shift in critical-theoretical discourse. In particular, his 1971 essay "From Work to Text" can be read as a kind of internalized dialogue or debate, with Barthes adopting a persona who now embraces key tenets of Derridean poststructuralism, for example, and who thus takes issue with the author's own earlier, staunchly structuralist persona, champion of a classically semiolinguistic approach to literary and cultural analysis.

"FROM WORK TO TEXT": IMPLICATIONS FOR THE STUDY OF THE NOVEL

Though it articulates seven "principal propositions" about the nature of texts, Barthes's essay suggests that these statements should be construed less as "argumentations" than as "enunciations" or "touches" (156). The self-reflexivity, playfulness, and anti-exhaustive spirit of Barthes's proviso stems from the new, post-structuralist research paradigm that his essay goes on to outline. As Barthes puts it at the end of the essay, "a Theory of the Text cannot be satisfied by a metalinguistic exposition: the destruction of meta-language . . . is part of the theory itself" (164). But what are the constructive, as opposed to critical, goals of Barthes's account? And how do those goals pertain to research on the novel?

TEXT VERSUS WORK

Since one of his major concerns is to distinguish between the classical concept of the work and the new, interdisciplinary notion

of the text, Barthes's first proposition is that "the Text is not to be thought of as an object that can be computed" (156). (Throughout the essay Barthes uses the capitalized term "Text" as a mass noun, like "water" or "space," and the uncapitalized term "text" as a count noun, like "cat" or "pencil.") Barthes writes: "the work can be held in the hand, the text is held in language, only exists in the movement of a discourse," such that "the Text is not the decomposition of the work, it is the work that is the imaginary tail of the Text" (156–57). Hence, Barthes emphasizes, "*the Text is experienced only in an activity of production*" (157). This proposition echoes Barthes's emphasis, in *S/Z*, on readers' use of codes of signification to participate in the active structuration of texts, instead of merely passively appreciating works as pre-given, inert structures (18–21). Barthes's account thus points ahead to reader-response and other contextualist approaches to literary interpretation. More than this, structuralist methods of decomposing fictional narratives into their constituent features must be rethought when the basic unit of analysis becomes texts-in-contexts, as Barthes makes even more explicit in some of his other propositions.

GENRES AND FILIATION

Another proposition put forth in "From Work to Text" is that "the Text does not stop at (good) Literature; it cannot be contained in a hierarchy, even in a simple division of genres" (157). This statement or theme can be traced back to Mikhail BAKHTIN's investigations into the polygeneric origins and dialogic profile of novelistic discourse, but it also harmonizes with a broader deconstructive critique of evaluative hierarchies (Derrida, 1967, *Of Grammatology*). Further, the theme of genre is bound up with what Barthes terms

“filiation.” Whereas the idea of the work is caught up in an institution that bears striking similarities to that of patrilineal descent, originating from an author and relating to other works via principles of succession, the dominant “metaphor of the Text is that of the *network*; if the Text extends itself, it is as a result of a combinatory systematic” and “can be read without the guarantee of its father” (161). Discrete, autonomous works, linked to one another in a causal and chronological sequence, give way to the Text viewed as a network of reversible, multi-linear, intertextual relations, only a small subset of which can be captured by classical concepts such as “genre,” “allusion,” and “citation.” Such generalized intertextuality became not only a watchword of poststructuralist approaches to fiction but also the basis for Barthes’s proposal to replace the notion of the author with that of the scriptor, who “is always anterior, never original” and whose “only power is to mix writings” (1977b, 146). Yet later analysts—e.g., those focusing on texts by women writers and others seeking to claim a voice for themselves—have taken issue with Barthes’s attempt to evacuate the communicative intentions of writers, his embrace of a scriptor who functions merely as a kind of switch operator between (anonymous) discourses.

SIGNS AND PLURALITY

The idea of the sign and of plurality constitutes other dimensions along which work and Text can be contrasted. On the one hand, the work “closes on a signified,” and insofar as modes of signification oriented around the signified involve either evident or hidden meanings, the work is the proper province of philology or hermeneutics, as the case may be. On the other hand, “the Text . . . practi[c]es the infinite deferment of the signified, is dilatory; its field is that of the signifier” (158). Hence terms like

“undecidability” and “indeterminacy” take their place alongside “intertextuality” as hallmarks of a poststructuralist approach to interpretation, which foregrounds the process over the target of signification. Another way of talking about this infinite deferment of the signified is to talk about the Text’s radical plurality. The Text is plural not because (like the work) it is ambiguous and can be assigned several candidate interpretations, but instead because it involves an explosion, or dissemination, of meanings. Here readers familiar with *S/Z* will recall Barthes’s influential distinction between classical, “*readerly*” (lisible) works, which he characterized as only parsimoniously plural, and postclassical, “*writerly*” (scriptible) texts, which are limitlessly plural and thus “make the reader no longer a consumer, but a producer of the text” (4).

Barthes’s account of the readerly and the writerly (like his opposition between work and text) leaves it an open question whether these terms are classifications of particular kinds of fictional texts or rather different stances toward the process of interpretation itself. The non-resolution of this issue may in turn reflect Barthes’s understanding of the poststructuralist approach as fundamentally relativistic (1977c, 156). In contradistinction to structuralist methods, Barthes refuses to distance his own discourse from the research object—texts of all kinds—that he now construes as being shaped in part by the commentator’s own interpretive practices.

SEE ALSO: Author, Genre Theory, Intertextuality, Narrative, Narrative Structure, Novel Theory (20th Century), Philosophical Novel, Reader.

BIBLIOGRAPHY

- Barthes, R. (1972), *Mythologies*, trans. A. Lavers.
Barthes, R. (1974), *S/Z*, trans. R. Miller.

- Barthes, R. (1977a), "Introduction to the Structural Analysis of Narratives," in *Image Music Text*, trans. S. Heath.
- Barthes, R. (1977b), "The Death of the Author," in *Image Music Text*, trans. S. Heath.
- Barthes, R. (1977c), "From Work to Text," in *Image Music Text*, trans. S. Heath.
- Culler, J. (1975), *Structuralist Poetics*.
- Derrida, J. (1991), "The Law of Genre," in *Acts of Literature*, ed. D. Attridge.
- Dosse, F. (1997), *History of Structuralism*, vol. 1, trans. D. Glassman.
- Genette, G. (1983), *Narrative Discourse*, trans. J.E. Lewin.
- Singer, B. and T. Rockmore, eds. (1992), *Antifoundationalism Old and New*.

Style see Narrative Technique

Style indirect libre see Discourse

Superfluous Man Novel see Russia (18th–19th Century)

Supernaturalism see Gothic Novel; Magical Realism

Surrealism/Avant-Garde Novel

DEBORAH JENSON

Surrealism itself was conceptualized by its founder André Breton as an antidote to the novel. In the first *Manifesto of Surrealism* (1924), Breton described the novel, shaped by realist and positivist conventions (see REALISM), as hostile to the growth of the reader's intellect or ethical sense. The realist novel's informational and descriptive style, epitomized by the phrase "The Marquise went out at five" (7), had all the clarity of "a dog's life" (6) and fostered characters who represented the repetitive construction of a human type in the context of a prescriptive social logic. In the face of the novel's ready-made humans, Breton concluded: "The only discretionary power left to me is to close the book" (7). But although the Surrealists

consistently aligned themselves against stasis, convention, and the psychosocial character formation that perpetuate them, they were also intrigued by the possibility of using NARRATIVE TECHNIQUES and literary character formation to cultivate alternative experiences of the world in authors and readers. The psychic revelations of the avant-garde novel associated with Surrealism were born of the imagination's encounter with the technology of narrative, inflected by the fields of psychiatry and neurology in which Breton had been trained.

The first published book of literary Surrealism, Breton and Philippe Soupault's *Les champs magnétiques* (1920, *Magnetic Fields*), has been called a novel, but its strict use of psychic automatism, displayed at three writing "speeds," deconstructs or avoids constructing virtually all temporal and spatial narrative continuity of character and story (see TIME, SPACE). Other Surrealist novels from the early 1920s include *Mort aux vaches et au champ d'honneur* (1923, *Death to the Pigs and to the Field of Glory*) by Benjamin Péret and, in Spain, *El Incongruente* (1922, *The Incongruent One*) by Ramón Gómez de la Serna.

The best-known example of a Surrealist avant-garde novel is Breton's 1928 *Nadja*. Nonlinear in its structure, this hybrid photo-narrative, anchored partly in the tradition of intimate or autobiographical writings, represents the Parisian trajectory of the author's brief relationship with a young woman who was a patient of the psychiatrist Pierre Janet (1859–1947). *Nadja* is an interrogation of the subjective relation to the enigma of the other's existence, mapped in urban space. The unpredictable female protagonist stimulated productive forms of non-knowing and experimental cognition for the author, who opens the text with the question "Who am I?" *Nadja* was preceded by *Le paysan de Paris* (1926, *Nightwalker*) by Louis Aragon and *La Liberté ou l'amour!*

(1927, *Give Me Liberty or Give Me Love!*) by Robert Desnos. It was contemporaneous with the composition of the novel *Aurora* by Michel Leiris and *Les Dernières Nuits de Paris* (*Last Nights of Paris*) by Soupault.

Visual artists figure strongly in the history of the Surrealist avant-garde novel also, showing its fundamentally transmedia approach to experimental narrativity. Giorgio de Chirico published *Hebdomeros* in 1929, and Salvador Dalí published *Hidden Faces* in 1945. Max Ernst innovated with the collage novel *A Week of Kindness or the Seven Deadly Elements* (1934), in which illustrations from pulp novels and catalogues were arranged in book form so as to stimulate unconscious or libidinal narratives in the viewer (see PSYCHOANALYTIC THEORY). British painter and writer Leonora Carrington, born in 1917, wrote novels including *The House of Fear* (1938) and *The Oval Lady* (1939). Her fiction served as an inspiration to later avant-garde novels by women writers like Angela Carter and Kathy Acker, in which the hierarchies of gender and power that had been so evident in avant-garde works such as *Nadja* were destabilized.

The Surrealist avant-garde novel is related to novelistic experimentation in the Bloomsbury group and also to other areas of the modernist tradition, including novels such as *Nightwood* (1936) by expatriate Djuna Barnes (see MODERNISM). Raymond Queneau, who was briefly affiliated with Surrealism, later founded the avant-garde literary group OULIPO (“Workshop for Potential Literature”), famous for its use of constrained writing techniques. Queneau’s surrealist novel *Le Chiendent* (1933, *The Bark Tree*)

was a precursor to the avant-garde genre of the *nouveau roman* or “new novel,” and shows a genealogy leading from the Surrealist novel to later avant-garde fictional forms. In effect, despite the Surrealist rejection of the novel as the emblematic form of bourgeois modernity, iconoclastic Surrealist revisions of the novel mark a lasting tension between the realist mode and the experimental mode in fiction, rather than a disavowal of the novel per se. It is in this sense that Breton ultimately would claim the novel as one of Surrealism’s lasting claims to the avant-garde. Maurice Nadeau notes that after the two world wars, Breton cited a Surrealist novel by Julien Gracq as a sign that in the absence of a “more emancipating movement,” Surrealism remained in the front lines—“in the avant-garde” of experimental culture (216).

SEE ALSO: Adaptation/Appropriation, Decadent Novel, Definitions of the Novel, Intertextuality, Life Writing, Metafiction, Modernism.

BIBLIOGRAPHY

- Biro, A. and R. Passeron (1982), *Dictionnaire général du Surréalisme et ses environs*.
 Breton, A. (1960), *Nadja*, trans. R. Howard.
 Breton, A. (1969), *Manifestoes of Surrealism*, trans. R. Seaver and H.R. Lane.
 Breton, A. (1978), *What Is Surrealism?*, ed. F. Rosemont.
 Breton, A. and P. Soupault (1985), *Magnetic Fields*, trans. D. Gascoyne.
 Chadwick, W. (1998), *Mirror Images*.
 Nadeau, M. (1989), *History of Surrealism*.

T

Tagged Discourse *see* Discourse

Temporality *see* Narrative Technique

Testimonial Novel *see* Central America

Textual Criticism and History *see* Editing

Thought, Represented *see* Discourse

Time

CATHERINE GALLAGHER

Paul Ricoeur tells us that a novel is a chronologically organized discourse ultimately referring (whatever its ostensible themes or subjects) to the passage of time. He also reminds us, though, just how complex and fractured that reference is, and especially in the case of fictional narratives, how far removed from our normal experience of time as comprising past, present, and future. Indeed, even as the novel takes place in time—as a linear sequence of signs in the consciousnesses of its readers—it nevertheless seems to suspend and displace the temporality of our daily existence, superimposing intricate, multilayered, and anachronistic time schemes of its own. This entry on the topic of time and the novel will survey various techniques for distinguishing, ordering, layering, interrupting, destabilizing, and suspending such temporal components of the form as story, plot, narrative, narrating, and reading. It will also discuss the historical facets of novels and their suspended time in textuality.

THE COMPONENTS OF NOVELISTIC TIME

Narrated and narrative times

Critics and theorists have made a number of crucial distinctions in the process of describing how novels organize time, but unfortunately there has been no general agreement about their terms. As Gérard Genette remarks in the introduction to *Narrative Discourse Reconsidered*, the most basic distinction is between the time of the narration (what he calls the *récit*) and the time of the events narrated (the *histoire*). A variety of other terms have been used to describe roughly the same division: the Russian formalists (see **FORMALISM**) distinguish between *fabula* (raw order of events) and *siuzhet* (order in which they are told); Émile Benveniste uses *énoncé* (the enunciated or said) and *énonciation* (the act of enunciating or saying, including *discours*, which consists of various linguistic markers placing the enunciator in time); Günther Müller differentiates between *Erzählte Zeit* (narrated time) and *Erzählzeit* (narrating time); Mieke Bal separates the *fabula* from the “text” by the intervening category of “story” (the order of events as told); while Ricoeur tends to use the hybrid pair of *énoncé* and *discours*. These pairs are by no means perfectly equivalent, but they might all be used to explain the difference between, e.g., (1) the time supposedly taken to write

Lockwood's diary in Emily Brontë's 1847 *Wuthering Heights*, and (2) the time of the story of the inmates of *Wuthering Heights*, which includes the introductory events of the diary and is largely told in the voice of the interpolated narrator, Nelly Dean (see *FRAME*). The narrative (or *récit*, *siuzhet*, *énonciation*, *Erzählzeit*, text, or *discours*) of the diary begins in 1801 and ends a year later in 1802, whereas the story (*histoire*, *fabula*, *énoncé*, *Erzählte Zeit*) of Heathcliff and the Earnshaws spans the period 1757–1802. The *fabula* of *Wuthering Heights* is constructed by the reader on the basis of over six hundred temporal allusions in the text, and it presupposes the existence of an “objective” and regularly proceeding calendar time as an external condition of the novel's temporality.

A double temporal order of the novel thus emerges in these two separate time-tracks, the short track of the narrative span and the long track of the narrated matter, and each of these tracks can be said to enclose and be enclosed by the other. The dates 1801–1802 in Lockwood's diary contain the whole of the story Nelly Dean tells, but inversely the events of 1801–1802 can be chronologically situated toward the end of her narrative. Furthermore, *Wuthering Heights*, like many novels following the epic model, takes full advantage of this doubleness by beginning *in medias res*; we first read Lockwood's diary entries describing his encounters with the mysterious world of *Wuthering Heights*, one of which contains a recollected portion of the dead character Catherine Earnshaw's diary, and only then, after Lockwood returns to his rented country house at Thrushcross Grange and seeks an explanation from the housekeeper, is the more linear, sequential story narrated. Thus, most of the novel consists of an extended analepsis (a flashback or time-shift backward) recounting previous events in more or less calendric sequence in order to answer the suspended

question of how things came to be the way they are in 1801.

Story, narrative, and narrating times

To be sure, a frame narrative such as *Wuthering Heights* makes the distinction between the times of the narrative and the narrated unusually apparent by representing and dating the act of narrating. Indeed, I've chosen to use *Wuthering Heights* as an example because its temporal complexity requires the use of the full range of temporal analytical tools. For example, the novel's explicit representation of the narrative time, which makes the narrative/story distinction easy to see, also presents a problem for the division of *Wuthering Heights*'s time into merely two strands, for we might legitimately ask why the events surrounding the writing of the diary, which is every bit as fictional as the story of Heathcliff's life, should not themselves be included as part of the narrated matter, even though their temporality is distinct. The first narrated event we encounter in *Wuthering Heights* is Lockwood's initial short visit to *Wuthering Heights*, whereas the earliest chronological event is the arrival of Heathcliff at *Wuthering Heights* thirty-some years before. And thus, within the category of the narrated, another distinction emerges between the simple chronological line along which we might string all the events (the *fabula*) of the novel and the often quite different order in which the narration places them. Many critics use the term *siuzhet* to denote this ordering rather than to name any represented act of narrating. Other theorists, such as Ricoeur, have wanted to retain the pre-narratological term “plot” (rather than “narrative”) to name this dimension, and Mieke Bal uses “story” as opposed to both the bare *fabula*, on the one hand, and the narrative “text,” on the other. Genette also comes up with a third category to accommodate this

complication; he uses *histoire* (story) for the mere chronology of the events, *récit* (narrative) for the temporal order in which they are arranged; and *discours* (narrating) for the act of telling as represented or implied in the fiction (e.g., the time in which Lockwood supposedly writes his diary). In English, Genette's terms have generally been rendered as story, narrative, and narrating, and many students of the novel acknowledge the usefulness of some such tripartite set of terms for separating out the layers of often simultaneous temporal patterning in a novel. For example, they allow us to see that the first analepsis of *Wuthering Heights*, in which Lockwood records (in chap. 3) Catherine's diary (supposedly written in 1777) is simultaneously proleptic; it shifts us backward in calendric or story time and might be said to interpolate an earlier narrating time, but in terms of the narrative order it also anticipates an incident that we will encounter three chapters later when Nelly's narrative reaches that same point in the story.

Represented and reading times

Even these three strands, however, have often not seemed adequate to the intricacy of novelistic temporality, and other dimensions of time have also been explored. Müller's concept of *Erzählzeit* (narrating time as opposed to narrated time), for example, refers less to the writing time of Lockwood's diary (which is a represented fictional entity) than to the time spent in reading the novel, as measured by its length. Since we do not confuse the time of our own reading with the represented time of Lockwood's diary writing, such a distinction would seem to be necessary. Müller implies, however, that in reading we unconsciously compare and contrast the two: in reading *Wuthering Heights*, for example, we register that the fictional time of Lockwood's writ-

ing is spread over a year, but the time that would normally elapse in reading the novel is merely a matter of hours. In such a complex novel, moreover, other such contrasts would be felt on every level: the thirteen-year span over which Catherine and Heathcliff grow into adults and are separated by Catherine's death may be measured against the five weeks of Lockwood's illness during which Nelly supposedly tells him the story intermittently, and that might in turn be measured against the time it takes us to read the chapters (perhaps an hour). Our experience of these different time values, according to Müller, constitutes the novel's temporal gestalt. Moreover, although narratologists have been reluctant to admit that they consider reading time in their analyses (because it seems too subjectively variable), even Genette acknowledges it under the guise of "duration" and requires it to describe the novel's complex and varying tempos.

Critics use these different temporal strands—we have so far identified four—not only to trace their organization in individual novels (as I have been doing with *Wuthering Heights*) but also to describe the techniques typical of various authors, nations, historical periods, aesthetic movements, and subgenres. Much of the scholarship on time and the novel, for example, has been devoted to the strong influence exerted on modernist narrative techniques by Henri Bergson's (1859–1941) philosophical writings on time (see MODERNISM). Within all of this great variety, though, we commonly find novelists handling the special temporal resources of their form in ways that at once reference our lived experience of time and create an experience apart from and even antithetical to lived time. A description of these effects will require us to look at some aspects of the novel (verb tenses and textuality, for example) that have not yet been mentioned.

ANACHRONY

For each of the main aspects of time—transience, sequence, and irreversibility—the novel’s multiple temporalities, its tenses of fictionality, and its textual mode of being all supply counterweights. The novel, like music, is a diachronic art form, but it seems devoted to anachrony.

Anti-transience

To the transience of successive moments, especially as measured by the regular and unstoppable ticking of “objective” clock-time, the novel offers numerous techniques for slowing or suspending forward movement. I’ve been examining the compressions by which story time is reduced to narrating time, and narrating time to reading time, but the opposite effect is also in the novelistic repertoire. The reading time, the *Erzählzeit*, can be much longer than the moment narrated. As Henry Fielding’s narrator declared in *Tom Jones* (1749), his story would “sometimes seem to stand still and sometimes to fly” (chap. 1). Recognizing that narrative rhythm is a relative matter and that the sensation of standing still is partly dependent on the opposite sensation of flying, we may nevertheless note that novelists since the seventeenth century have used descriptive pauses, discursive digressions, the represented reveries of characters, and other rhetorical ornaments to slow and stop the forward motion of narrative and to elongate or stretch reader’s perception of time (see DESCRIPTION). With the invention of modernist narrative forms, other modes of time-suspension became available, such as James Joyce’s “epiphanies” or Ford Madox Ford’s purposeful *longueur*. The novelist’s ability to slow the tempo by imposing a long reading time on a short incident, though, is not the form’s only way of reacting against the transience of time.

Another is the suspension brought about by the very use of the past tense in fiction. As numerous theorists have noted, the traditional use of the preterite in the novel is unmoored from its normal meaning because there is no present situation of communication in relation to which the verb’s tense deictically indicates pastness. Rather, to borrow Harald Weinrich’s formulation, the past tense in narrative often signals not pastness but an ontological distance from actuality that induces a certain kind of aesthetic receptivity, which he calls “withdrawal” from the actual world. We could think of it as analogous to the “Once upon a time” of the fairy tale. And paradoxically, as the critic A. A. Mendilow noted in 1952, the past tense signaling fictionality allows for the engrossment in which readers translate “all that happens . . . into an imaginative present” unfolding as they read the novel (96–97). Other critics working on the phenomenon of free indirect discourse, such as Kate Hamburger and Ann Banfield, have similarly noted the distance between the uses of tense in fiction and the ordinary uses of tense, and they have especially stressed the anachronic layering of presentness and pastness. All of these methods of countering time’s transience might be said to invoke our tacit knowledge that the various dimensions of fictional time only “happen” in actuality when someone reads the novel, which can also obviously be reread repeatedly, so that its transience is suspended in its textuality. The most uncanny temporal aspect of the novel may, indeed, be this always available replaying of events that we know never occurred.

Anti-sequence

To the regular sequence of past—present—future that marks “objective” time, the novel counterpoises numerous anachronic concatenations. We have already identified

instances of analepsis and prolepsis, for example, and *Wuthering Heights* also gives us a prominent instance of paralepsis or ellipsis, which Genette defines as the omission at the narrative level of a link in the story chain, leading to a noticeable gap in the sequence. Heathcliff leaves *Wuthering Heights* in 1780 as a poor farm boy and returns to the neighborhood in 1783 as a rich man, but there is no account of how this change occurred. Simultaneity is another anti-sequential device used repeatedly in *Wuthering Heights*; e.g., Lockwood's reading of Catherine's diary creates our awareness of the simultaneity of their two calendar times (1801 and 1777) in our reading experience, a simultaneity that is also made thematic in Catherine's ghostly appearance at the window of Lockwood's bed later that night. Through all of the disruptions, reversals, gaps, and layers of temporal sequences, the novelist suggests that some states of being manage to escape the constraints of time altogether, stepping out into a dimension of permanent endurance. Indeed, Mikhail Bakhtin identifies this quality of existence outside of sequenced time as the "chronotope" of the GOTHIC novel.

Anti-irreversibility

The ambition to retrieve past time, redeem it, recall it, and make it once again present, thwarting its unidirectional flow, is implicit in the trope of retrospection that so frequently motivates the narrating in novels, and temporal reversal operates also in many of the techniques we've already examined: backward ordering, time-shifting, layering, and rendering moments simultaneously. The repetition of plot elements might be seen as another method of reviving spent time. At *Wuthering Heights*, for example, we see Lockwood inhospitably left without the accommodation of a bed in chap. 2, then the newly arrived Heathcliff in chap. 4 (and thirty years earlier) wanders the same halls

with nowhere to sleep, and then in chap. 13 (and thirteen years later), Isabella Heathcliff (née Linton) finds herself in the same situation. We see a single pattern of struggle and oppression form itself repeatedly as the denizens of the Heights ascend and descend the structure of power. And, most obviously, Heathcliff's attempted revenge consists in forcing the children of his enemies to relive the experience of his own degradation at the hands of their parents.

Wuthering Heights may be a novel particularly haunted by such recurrences, but novelistic plots in general, as Peter Brooks has argued, redeem time as a "medium of meaning" through the patterning activity of repetition. The first time an event occurs it may seem locked in its context, but its recurrence both brings the earlier incidences back to mind, thereby unbinding them from their initial placement, and also creates the resonances we perceive as the work's themes and meanings. Time's direction can also be reversed by highly coincidental plots, which give the impression of having been teleologically arranged in order to bring about particular endings and thus create the effect of backward causation. Moreover, recent experiments in reversing time's course have included narrative exploitations of backward time-travel paradoxes, tales of people born old and growing young, and, in the singular case of Martin Amis's *Time's Arrow* (1991), a narrator telling an entire novel in reverse order, as if he were describing a film playing backwards.

NOVELS AND HISTORICAL TIME

Perhaps because the novel has invented such strong models for rescuing the past, it has been a favorite form of historicist critics. When it promises to be entirely up to date and portray the world of the author's times, it thereby also pledges to preserve that world

for future generations. In the atmosphere of nineteenth-century historicism, it added the ambition of retrieving the subjective experiences of bygone eras. History could give both a record and an analysis of public events, but the historical novel would portray the nitty-gritty lived sensations and mentalities of private lives, which were only then coming to be understood as historically shaped. For these reasons, we often read novels with an intense sense of their historicity; indeed, we often read them as a way of dwelling mentally in a past made present.

But what is the time of this past? Partly, we think of it as the past in which the author composed the novel. Obviously, this would not be the intradiegetic time of the narrating persona (e.g., Lockwood) but rather an extradiegetic time (e.g., the 1840s in which Emily Brontë wrote) that can be placed in relation to the reader's historical moment. Part of what we seek when we read *Wuthering Heights* historically is the sense of that invisible but nonetheless characterizable sensibility, its period inflections, and also its miraculous singularity in contrast to all the other Victorian novelists we read. The historical embodied life that produced that sensibility came and went, but we nonetheless believe we can approximate an encounter with it in the act of reading the novel.

Since the 1970s, however, "new" historicists have mounted a critique of this view of the novel's historical being. Literary works, as theoreticians such as Jerome McGann, Hans Robert Jauss, and Stephen Orgel (in their different ways) insist, are not fixed by their authors at particular points in history and then retrieved in that form by later readers; instead they exist as a multitude of various versions and moments of reception. Their historical being consists in a series of events (writings, publications, editings, readings, performances, and other consummations). There is no historical gap between the Victorian *Wuthering Heights* and our

twenty-first-century readings of it but rather a continuous series of realizations in which readers appropriated and revised the meaning of the text. In these perspectives the text is either equated with the totality of the operations performed in realizing it or viewed as a kind of ghostly "potential" that might be actualized in myriad human actions, all of which can be situated historically as discrete events. We might say, therefore, that the historical time of the novel has been generously pluralized since the 1960s and is now an ever-renewing manifold of historical times.

This pluralizing, however, has by no means overcome the problems inherent in placing texts historically. As Jauss pointed out in 1970, they seem to lack the normal starting and ending dates we use for other kinds of historical phenomena. For example, we can ask (without speaking nonsense), "When was the French Revolution?" But we cannot ask, "When was *A Tale of Two Cities*? Or when is it? Or when will it be?" We need to specify further: When was it written, published, revised, made into a movie, or read by a particular person? The novel (or, for that matter, a history like Thomas Carlyle's *The French Revolution*, 1837) comes into being as a text and then, our ordinary language indicates, just is, in a kind of being without necessarily happening that characterizes all textuality but is particularly acute in the novel, which refers only obliquely to actual historical events.

Novels, we might say, are uncannily at once historical and atemporal, giving readers the sense of being delivered into an intimately known past and yet making that delivery in a stretch of time that has no specifiable termination. This is the quality of time-in-abeyance that Georges Poulet describes when he claims that all books in their merely physical form seem to "wait for someone to come and deliver them from their materiality" (41); the text, he reminds

us, can only be brought out of this dormancy by a reader, “whose own life it suspends” (47). The richness and complexity of the novel’s anachronic techniques, the subtle indicators of its fictionality, heighten our awareness of this state of suspension.

SEE ALSO: Closure, Metafiction, Narrative Structure, Serialization, Space, Story/Discourse.

BIBLIOGRAPHY

- Bakhtin, M.M. (1982), *Dialogic Imagination*, trans. K. Brostrom and V.S. Liapunov, ed. M. Holquist and V.S. Liapunov.
- Bal, M. (1985), *Narratology*.
- Banfield, A. (1982), *Unspeakable Sentences*.
- Benveniste, E. (1977), *Problems in General Linguistics*, trans. Marilynn Rose.
- Brooks, P. (1984), *Reading for the Plot*.
- Genette, G. (1980), *Narrative Discourse*, trans. J.E. Lewin.
- Genette, G. (1988), *Narrative Discourse Revisited*, trans. J.E. Lewin.
- Hamburger, K. (1973), *Logic of Literature*, trans. M.J. Rose.
- Jauss, H.R. (1970), “Literary History as a Challenge to Literary Theory,” *New Literary History* 2: 7–37.
- Jauss, H.R. (1982), *Toward an Aesthetic of Reception*.
- McGann, J. (1983), *Critique of Modern Textual Criticism*.
- Mendilow, A.A. (1952), *Time and the Novel*.
- Müller, G. (1968), *Morphologische Poetik*.
- Orgel, S. (2002), *Authentic Shakespeare*.
- Poulet, G. (1980), “Criticism and the Experience of Interiority,” trans. C. Macksey and R. Macksey, in *Reader-Response Criticism*, ed. J. P. Tompkins.
- Ricoeur, P. (1985), *Time and Narrative*, vol. 2, trans. K. McLaughlin and D. Pellauer.
- Weinrich, H. (1973), *Temps*, trans. M. Lacoste.

Todorov, Tzvetan see Genre Theory

Tragedy see Comedy/Tragedy

Translation History see Arabic Novel (Mashreq)

Translation Theory

PETER CONNOR

Toward the end of his 1813 lecture “On the Different Methods of Translation,” Friedrich Schleiermacher refers to “an inner necessity” that has driven the German people to “translating *en masse*” (28). Schleiermacher was thinking of the abundance of translations by contemporaries such as Friedrich Hölderlin, Wilhelm von Humboldt, and the brothers Wilhelm and August Schlegel, poets and scholars whose versions of Sophocles, Pindar, Aeschylus, Plato, and William Shakespeare promised to carry over into German culture “all the treasures of foreign arts and scholarship” (29). It is a noble and elevating vision of the role of translation and of the task of the translator. But another, much more authentically “mass” or “large-scale” form of translation activity escapes Schleiermacher’s notice (it is beneath his notice): driven less by “inner necessity” than by commercial interest, carried out not by renowned poets but by anonymous journeymen, the translation of the novel marks the true beginning of mass literary translation in the nineteenth century. The popular appeal of novels outside of their country of origin created an increasingly lucrative international market for publishers, who were quick to capitalize on the growing literary reputations of certain authors abroad. Within a year of its publication in 1719, Daniel Defoe’s *Robinson Crusoe*, taken by some (e.g., Ian Watt) to be the first novel in English, was translated into French, German, and Dutch; by the end of the nineteenth century, in addition to 277 imitations (arguably a form of translation), it had been translated 110 times, including into Hebrew, Armenian, Bengali, Persian, and Inuit (Fishelov, 343). Thanks to an army of translators, Defoe’s novel reached a vast, worldwide audience for which it was not originally intended. Defoe’s publishers

might well have mused, along with Goethe, that “national literature is now a rather unmeaning term; the epoch of world literature is at hand” (qtd. in Damrosch, 1).

That the novel, the “most buoyantly migratory” of genres (Prendergast, 23), should so easily cross linguistic frontiers might appear somewhat paradoxical, given the important historical role it has played as a medium of national awareness. Literary historians and sociologists have argued that novel and nation evolved in tandem, in part because the novel was a capacious genre that accommodated the multiple and disparate voices or languages of large geographical units. Timothy Brennan, for example, argues that the novel “accompanied the rise of nations by objectifying the ‘one, yet many’ of national life, and by mimicking the structure of the nation, a clearly bordered jumble of languages and styles” (49), while Franco Moretti, adopting Benedict Anderson’s thesis that the novel provided the nation-states of Europe with the symbolic form they needed in order to be understood by the people, stresses the crucial representational role of the novel in a period when new economic, political, and technological processes conspired to “drag human beings out of the local dimension and throw them into a much larger [national] one” (17). Yet, through translation, this narrative form, designed to integrate the local into the national and to transform disparate territories into nations, reached (and shaped) an international market the members of which had little immediate interest in the local dynamics of nation-building. Whatever its function at the regional and national level, the history of the translation of the novel shows that its appeal was, from an early stage, transnational.

Critical examination of the immense corpus of translations reveals that the translation of the novel, like translation in general, is a complex and often problematic cultural

transaction involving “asymmetries, inequities [and] relations of domination and dependence” (Venuti, 1998, 4). Moretti’s research into the holdings of a number of British circulating libraries as well as *cabinets de lecture* (commercial rental or circulating libraries) in France in the mid-nineteenth century reveals the presence of remarkably few translations in libraries on either side of the Channel. Moretti concludes from this that Britain and France, being the primary producers of novels in the nineteenth century, had less interest in importing them than had, say, Italy or Denmark (151, figs. 71, 72). His research also reminds us that translation policy and practices vary enormously from nation to nation, with some nations, notably those that are politically and economically powerful, translating less than others. On the basis of statistics covering the mid- to late 1980s, for example, Lawrence Venuti estimates the translation rate (the percentage of published books that are translations) in the Italian publishing industry to be 25.4 percent, the German 14.4 percent, the French 9.9 percent, and the British and American somewhere between 2 and 4 percent (1995, 11). Venuti attributes the relative paucity of translations into English to a “complacency in British and American relations with cultural others” which expresses itself in a profoundly nationalist and even chauvinistic philosophy of translation—“imperialistic abroad and xenophobic at home” (1995, 13).

The xenophobia and imperialism that Venuti detects in certain translation practices are aspects of a more general form of violence that is partly inherent in the act of translating (which perforce suppresses and replaces the original text) and partly contributed, more or less consciously, by the translator, who in addition to the external pressures of commodity capitalism must contend with personal cultural biases that may conflict with the source text, resulting

in an ethnocentric rendering of the original. Venuti is particularly sensitive to the insidious violence of “domestication” in translating, meaning the tendency, in the interest of producing a “fluent” and “readable” translation, to assimilate the foreign text to the values and norms of the receiving culture. Current publishing and reviewing practices in the U.S., which valorize transparency and familiarity in translations, implicitly encourage this type of violence, perhaps especially in the case of the novel inasmuch as, if we except some important experimental fiction, intelligibility remains in this genre an entrenched readerly expectation. French theorist Antoine Berman sees in every culture an inbuilt resistance to the very notion of translation to the extent that it necessarily implies “the violence of *métissage* [crossbreeding].” The aim of translation—“to open at the level of writing a certain relation to the Other, to fertilize the Self through the mediation of the Foreign”—is an affront to “the ethnocentric structure of every culture,” which would prefer to imagine itself as a self-sufficient entity (16). On Berman’s view, this fundamental cultural resistance to the notion of translation produces a “systematics of deformation” which “conditions the translator, whether he wants it or not, whether he knows it or not” (18).

The translation of the novel is accordingly subject to distortion and deformation at both conscious and unconscious levels. A simple but forceful example of the conscious manipulation of an original is the English translation of the title of Victor Hugo’s classic novel *Notre Dame de Paris*, which becomes, in both the 1941 and the revised 2002 editions for the Modern Library (of the World’s Best Books), *The Hunchback of Notre Dame*. The effect of this operation is to prime the Anglophone reader for a novel dealing with a single character (Quasimodo) and to privilege from among the

multiple narrative strands in the work the theme of physical deformity (Hugo, 2002). As Hugo’s original French title suggests, the cathedral itself is the “protagonist” of the sprawling novel, the major themes of which (architecture, the print medium, religious fanaticism, social justice, etc.) are tributaries of this symbolically invested space. The repositioning of the novel as a tragic or pathetic story of unrequited love is a strategic marketing ploy that shapes the reception of the work as well as the perception of the author in North America. By deemphasizing Hugo’s historical role as a revolutionary social and political commentator, the shift in title paves the way for the wholesale dilution of Hugo’s oeuvre via musicals and films based on his works, including the 1996 Disney film of *The Hunchback* (Grossman).

Not all forms of conscious textual manipulation are so apparent. Wen Jin, analyzing *The Lost Daughter of Happiness*, the English-language version of Yan Geling’s Chinese novel *Fusang* (1985), in which a young woman (Fusang) is abducted from her village in China and sold into a Chinatown brothel in San Francisco, notes that the translation omits or abridges key descriptions concerning the main character’s “unruly sexuality” (572). This has led to two almost diametrically opposed readings of the novel. Anglo-American readers, having access only to a bowdlerized version of the original, have seen Fusang as “opaque” and regard her as an example of the proverbial “inscrutable Oriental.” Readers in mainland China, privy to explicit descriptions of Fusang’s “effortless accommodation of forced sexual intercourse” (577), read her character in allegorical terms, recognizing in the young woman “the embodiment of a kind of feminine resilience that enabled China to hold its own against its Western enemies during the twentieth century” (573).

Unconscious interference in literary translation can take a number of different

forms. Berman has attempted to classify the major “deforming tendencies” that beset translations; among these are “rationalization,” “clarification,” “expansion,” and “ennoblement,” as well as the “destruction” of the rhythms and signifying networks of the source text. Since these tendencies operate at the unconscious level, the ideal translator will have undergone a cathartic “asceticism” akin to a rigorous psychoanalysis (Berman recommends team-translation as a means to uncover and combat unconscious forces). Because the end result of these deforming tendencies is to suppress the alterity of the source text (rendering the original more transparent through rationalization, more aesthetically pleasing through ennoblement, more fluent or readable through clarification, etc.), Berman (following Schleiermacher and Wilhelm von Humboldt) advocates the “foreignizing” of literary translation through the use of literalisms, neologisms, and syntactical borrowings. The “foreignizing” method, witnessed mostly in the translation of poetry and drama by poets (e.g., Friedrich Hölderlin’s translation of Sophocles, Pierre Klossowski’s translation of Virgil, etc.), is rarely practiced in the case of the novel. This may reflect the novel’s lowly position in the hierarchy of literary genres: of the many writers who also translate, few translate novels, work that is left to professional or amateur translators (often academics) who may feel uncomfortable with the degree of linguistic innovation such foreignizing entails. An exception, according to George Steiner, is the English translation of Hermann Broch’s *Der Tod des Vergil* (1945) by Jean Starr Untermeyer. Carried out over five years in collaboration with the author, the “bilingual weave” of *The Death of Virgil* (1945) makes so few concessions to the “natural breaks and lucidities of English” that “English and German meet in a ‘meta-syntax’” (337–38). Such a case re-

mains rare, however, especially in the translation of novels into English, where the imbalance in the power relation between source and target languages often results in the obliteration of cultural difference. This risk is especially high in English translation of Third World literature, which, according to Gayatri Chakravorty Spivak, “gets translated into a sort of with-it translatese, so that the literature by a woman in Palestine begins to resemble, in the feel of its prose, something by a man in Taiwan” (182).

While translation scholarship has focused largely on the interlinguistic translation of literary forms, attention has turned recently to multilingualism and translanguaging, phenomena that are particularly prevalent in the novel. In multilingual and translanguaged texts, a mode of translation becomes the motor of the creative enterprise; here translation is less “a process applied to a text than a process that takes place within it” (Levy, 107). Multilingualism refers to the presence of two or more languages in a given text: *Tristram Shandy* (1759), which mixes learned Latin digressions with the vernacular, is an example, as is Tolstoy’s use of French in *Voyñá i mir* (1869, *War and Peace*) or Mann’s in *Der Zauberberg* (1924, *The Magic Mountain*). In recent times, multilingualism has emerged as a significant stylistic feature in bicultural, colonial or postcolonial novels. Chicano author Rudolf Anaya includes both Spanish and English in *Bless Me, Ultima* (1972), as does Dominican-American writer Junot Díaz in *The Brief Wondrous Life of Oscar Wao* (2007), while the Martinican Patrick Chamoiseau mixes French and Creole in *Texaco* (1992). The technique is often employed to thematize issues of (split) identity as it relates to language, the presence of two languages symbolizing “the failure to achieve cultural symbiosis” (Zabus, qtd. in Grutman, 159). Translanguaging, likewise observed among writers employing an imposed or colonial

language, refers to the presence of lexical or syntactic traces of an indigenous language in a writer's use of a hegemonic language (cf. Venuti, 1998, 174). Translingualism can be a strategy in the othering or foreignizing of a colonial language, as in Chinua Achebe's self-conscious Africanization of English ("the world language that history has forced down our throats") or Mário de Andrade's Brazilianization of Portuguese (Achebe, 431; Casanova, 258). Michael Cronin argues that such forms of "linguistic doubling" are subversive inasmuch as the embedding of indigenous words and phrases within an English-language text represents "the return of the linguistically repressed" (136). Recent studies have focused attention on the parameters and nature of various "other Englishes," "weird" or "rotten" forms of English that rely on various strategies of intralinguistic translation (Apter; Ch'ien). Ch'ien includes in the category of "weird-English authors" the novelists Arundhati Roy, Maxine Hong Kingston, Jonathan Safran Foer, and Irvine Welsh, writers whose espousal of linguistic hybridity challenges conventions of fluency, linguistic purism, and the hegemony of elite "educated English" (Crystal, 149).

Finally we might note the increased prominence of translators and translation as figures or an explicit theme in contemporary novels and other narrative forms. *The House on Moon Lake* (2000), by Italian Francesca Duranti, centers upon translator Fabrizio Garrone and his fascination with an obscure German author; Dai Sijie's partly autobiographical novel *Balzac et la petite tailleuse chinoise* (2001, *Balzac and the Little Chinese Seamstress*) dramatizes the importance of Chinese translations of Balzac and other Western classics during Mao's Cultural Revolution; Egyptian-born Leila Aboulela's *The Translator* (2005) portrays a Sudanese translator of Arabic living in Scotland; John Crowley has constructed a

spy novel, *The Translator* (2002), around the motif of translation and betrayal, and so on. The publication of a number of "language memoirs," a term coined by Alice Kaplan to describe autobiographical accounts by bilingual subjects focusing on the forced or voluntary acquisition of a second language, complements and enhances the novelistic representations of the work of the translator. In addition to her own *French Lessons* (1993), this disparate category includes narratives generated by the experience of exile and war, such as Eva Hoffman's *Lost in Translation* (1989) and Daoud Hari's *The Translator* (2008). Such publications suggest that translation itself can be a valuable narrative and novelistic resource; they perhaps signal further that the translator has begun to combat the condition of invisibility that until recently was his or her lot (Venuti, 1995).

BIBLIOGRAPHY

- Achebe, C. (1994), "The African Writer and the English Language," in *Post-Colonial Discourse and Post-Colonial Theory*, ed. P. Williams and L. Chrisman.
- Anderson, B. (1991), *Imagined Communities*.
- Apter, E. (2006), *Translation Zone*.
- Berman, A. (1984), *Épreuve de l'étranger*.
- Brennan, T. (1990), "The National Longing for Form," in *Nation and Narration*, ed. H.K. Bhabha.
- Broch, H. (1945), *Death of Virgil*, trans. J.S. Undermeyer.
- Casanova, P. (2004), *World Republic of Letters*, trans. M.B. Debevoise.
- Ch'ien, E. (2005), *Weird English*.
- Cronin, M. (2003), *Translation and Globalization*.
- Crystal, D. (2003), *English as a Global Language*, 2nd ed.
- Damrosch, D. (2003), *What Is World Literature?*
- Fishelov, D. (2008), "Dialogues with/and Great Books," *New Literary History* 39:335–53.
- Grossman, K. (2001), "From Classic to Pop Icon," *French Review* 74(3):482–95.

- Grutman, R. (1998), "Multilingualism and Translation," in *Routledge Encyclopedia of Translation Studies*, ed. M. Baker.
- Hugo, V. (1941), *Hunchback of Notre Dame*.
- Hugo, V. (2002), *Hunchback of Notre Dame*, rev. trans. C. Liu, intro. E. McCracken.
- Jin, W. (2006), "Transnational Criticism and Asian Immigrant Literature in the U.S.," *Contemporary Literature* 47(4):570–600.
- Levy, L. (2003), "Exchanging Words," *Comparative Studies of South Asia, Africa and the Middle East*, 23(1/2):106–27.
- Moretti, F., ed. (2006), *Novel*.
- Prendergast, C. (2004), "The World Republic of Letters," in *Debating World Literature*.
- Schleiermacher, F. (1982), "On the Different Methods of Translation," trans. A. Lefevere, in *German Romantic Criticism*, ed. A.L. Willson.
- Spivak, G.C. (1993), *Outside in the Teaching Machine*.
- Steiner, G. (1998), *After Babel*, 3rd ed.
- Venuti, L. (1995), *Translator's Invisibility*.
- Venuti, L. (1998), *Scandals of Translation*.
- Zabus, C. (1990), "Othering the Foreign Language in the West African Europhone Novel," *Canadian Review of Comparative Literature* 17(3/4):348–66.

Turkey

ERDAĞ GÖKNAR

The origins of Turkish literary modernity can be traced back to a mid-nineteenth-century Ottoman Muslim engagement with Enlightenment ideals. The literary form of the novel appeared during the Tanzimat era of modernization, first through translations (e.g., of François Fénelon's *Télémaque* and Victor Hugo's *Les Misérables* in 1862 and Daniel Defoe's *Robinson Crusoe* in 1864), then through imitations that merged local form and content such as traditional *meddah* storytelling with the European novel. Early novels such as Şemsettin Sami's *Taaşuk-i Talât ve Fitnat* (1872, *The Romance of Talât and Fitnat*), Namık Kemal's *İntibah* (1874, *The Awakening*), and Ahmet Mithat Efendi's *Dürdane Hanım*

(1882, *Miss Durdaneh*) opened up a social space of self-examination with a moral intent to guide and instruct readers in the face of European cultural encroachment. The transition from a literary modernity to a fin-de-siècle aesthetic of literary modernism occurred through authors like Halit Ziya Uşaklıgil, who were able to emphasize aesthetic concerns and structure in novels like *Mai ve Siyah* (1897, *Blue and Black*) and *Aşk-ı Memnu* (1900, *Illicit Love*). In other words, the Ottoman novel itself was a medium of modernization. Its mediation, revision, and updating of narrative traditions in a new genre marked the beginnings of a literary modernity that persisted into the twentieth century and laid the foundation for an aesthetic of modernism that emerged more fully in the Republican era.

The process of Ottoman modernization did not prevent the failure of the Ottoman state. The historical oppositions of tradition and modernity, East and West, and Islam and Christianity found their way into literature through representative characters and tropes. These cultural oppositions were intensified by the occupation of the Ottoman capital of Istanbul (1918–23) by Allied armies after WWI and the Kemalist Cultural Revolution (1922–38) that responded to that occupation with a concentrated period of social engineering. Whereas the occupation ensured the partition of Ottoman territories into mandates, nation-states, and kingdoms, the Cultural Revolution, as if to sanction a European secular example, abolished the Ottoman Islamic sultanate, followed by the caliphate, and changed the written language, the legal system, dress codes, time, and the calendar. Perhaps owing to the intensity of events, a historiographic mode of novel-writing began to define literary modernity as in the novels of Halide Edib and Yakup Kadri Karaosmanoğlu. Literary realism dominated in the milieu of Republican social

engineering that resulted in a cultural mapping of the opposition between tradition and modernity upon two distinct historical polities: the defunct Ottoman Islamic empire and the secular Republic of Turkey, respectively. As a result, the Tanzimat state of duality that dominated the formative period of Ottoman literary modernity became a trope of the “divided self” in the Republican period. The duality preoccupied Republican authors and intellectuals, constituting one of the major tropes of Turkish literary modernism observable in the novel from Ahmet Mithat Efendi to Orhan Pamuk.

The following tripartite periodization emphasizes the contingencies of a century and a half of literary development from modernity to modernism and postmodernism.

OTTOMAN LITERARY MODERNITY

Early Ottoman authors of modernization including Şinasi, Namık Kemal, Samipaşazade Sezai, Muallim Naci, and Recaizade Ekrem sanctioned “Westernization” only to the degree that it would preserve the Ottoman—Islamic order. They did not fully adopt Enlightenment epistemological foundations. The crises of modernization, as they affected Ottoman society, focused on a process of defensive modernization over the nineteenth and early twentieth centuries. This meant that novels were often socially instructive and didactic in their aim rather than literary.

Ottoman modernism (1876–1908)

This period is marked by two constitutional periods in late Ottoman history—beginning in 1876 and 1908, respectively—that might be read as part of a transnational movement of Modernist Islam stretching from Central Asia to North Africa. The late nineteenth-century Ottoman modern was an urban figure seduced by the trappings of

European culture (including dress, the French language, and new modes of consumption). The dilemma, in short, was one of Ottoman Islam on the cusp of European colonization, and the response of Ottoman intellectuals preoccupied with reform and negotiating a synthesis between aspects of tradition and modernity. Though such themes are taken up in Recaizade Ekrem’s *Araba Sevdasi* (1896, Carriage Romance) and Hüseyin Rahmi Gürpınar’s *Şipsevdi* (1911, Love at First Sight), the representative novel of this era is Ahmet Mithat Efendi’s *Felatun Bey ve Rakım Efendi* (1876, Felatun Bey and Rakım Efendi). This iconic novel describes positive and negative engagements in the late Ottoman modernization process through its display of the lives of two opposing characters: one representing passive mimicry of Europe and the other a strong work ethic steeped in traditional values. These two possible models of social change are contrasted as an object lesson against excessive “Westernization.”

Ottoman Turkism (1908–22)

This time span reflects a period of almost constant warfare. The ideological changes brought about by the second constitutional revolution (1908), the Balkan Wars, WWI, and its continuation in Anatolia until 1922 resulted in a violent remapping of Ottoman territory based on ethno-religious categories that led to the transformation of the figure of the Ottoman modern. Turkism, the ideology of Turkish nationalism, provided an argument for self-determination in a limited territory that avoided the vagueness of Ottomanism, the expansiveness of Islamism, and the colonial cast of Westernism. “East vs. West” debates regarding tradition and reform are reflected in the works of Ottoman Turkist writers such as Ziya Gökalp, Ömer Seyfettin, Halide Edib Adıvar, and Müfide Ferit

Tek. Reşat Nuri Güntekin's *Çalığışu* (1922; *Autobiography of a Turkish Girl*, 1949), a popular novel of this era, is significant for its use of Anatolia as a setting, its identification of the challenges that await the "new" women of modernist Islam, and its implicit critique of Istanbul society for its ignorance of the lives of Anatolian peasants. Compromised in terms of gender and sexuality, the main character Feride becomes the focus of a dilemma of modernization; in short, as an educated woman she must struggle against the obstacles of Anatolian traditionalism.

REPUBLICAN LITERARY MODERNISM

The Kemalist Cultural Revolution instigated a new wave of Turkish literary modernity in the 1920s and 1930s. The intensity of the social engineering that occurred during these years caused a break between the Ottoman—Islamic past and national progress that affected literary production throughout the Republican era. Not only were the alphabet and language transformed, but Muslim traditions and symbols were pushed into the private sphere, and Sufi practices were outlawed. The tensions between Istanbul cosmopolitanism and Anatolia were reflected in the novel through realistic depictions that constituted the dominant conflict of literary modernism.

Republican Turkism (1922–50)

This era witnessed the proliferation of ideological novels supporting the Cultural Revolution, i.e., historically grounded representations of new "men" and new societies with a socialist, nationalist, and/or Turkist coloring. Often the main characters can be clearly read as didactic, allegorical figures. This period begins with the abolition of the Ottoman sultanate in 1922 and caliphate in

1924. Over the next few decades, the national allegories in novels written in the 1920s and 1930s by Yakup Kadri Karaosmanoğlu, Peyami Safa, and Halide Edib gradually give way to more nuanced accounts. In the work of Ahmet Hamdi Tanpınar, the reader is confronted *not* with object lessons, morality, or "party" novels espousing the Kemalist vision of society and history, but with a complex reckoning of the transition between Ottoman and Turkist worldviews. In the milestone novel *Huzur* (1949; *A Mind at Peace*, 2009), the historical traumas experienced in the establishment of the Republic have become psychological dilemmas that afflict the middle-class characters. The novel, set in 1939, dramatizes the mental breakdown of the main character, Mümtazm in the turmoil of the illness of his cousin and mentor Ihsan, the ending of his relationship with his beloved Nuran, the suicide of his nemesis Suad (who also loves Nuran), and the impending WWII. In its depiction of Istanbul's streets, neighborhoods, Ottoman music, and the Bosphorus, the novel is an icon of modernist, cosmopolitan prose with leitmotifs of urban Turkish culture. *Huzur*, harkening back to the era of Ottoman modernism, is one of the first testimonies to the cultural limitations of national and social modernization projects.

Anatolian realism (1950–71)

The start of multiparty politics in 1946 and the election of the Democrat Party to power in 1950 contained an implicit critique of the Cultural Revolution that was reflected in literature through a move away from nationalist ideals focusing on elite intellectuals to socialist ideals focusing on the Anatolian peasant. The genre, often historically grounded and based on the use of actual documents, addresses bleak economic hardships, blood feuds, patriarchy, honor, outlaws, and the cruelty of gendarmes, petty officials, and exploitation by *ağas* (land-

owners). The 1960 coup and the new constitution established wide-ranging freedom of the press, an independent judiciary, and the right to form unions, and autonomy in universities reinforced a socialist context and kept alive the possibility of social freedoms and justice. Author-intellectuals including Orhan Kemal, İlhan Tarus, Talip Apaydın, Fakir Baykurt, and Tarık Buğra helped to establish the genre that advocated social justice for the dispossessed. But not until the work of Kemal Tâhir was this genre historicized and applied innovatively to the Ottoman past. In his famous novel *Devlet Ana* (1967, Mother State), Tâhir combines Anatolian realism, the Marxist belief in the Asiatic Mode of Production, and strains of Turkism, introducing a new understanding of historiography into the socialist novel. Drawing on the geographic, economic, and social conditions that gave rise to the Ottoman Anatolian (and by extension, the Turkish Republican Anatolian) state, *Devlet Ana* focuses on the establishment of the Ottoman state after the dissolution of the Seljuk state around 1300. It is, however, an allegory for the establishment of a socialist state accepting a variety of people, languages, and religions in the present.

Feminism and existentialism (1971–80)

The Anatolian socialist novel, which was meant to confront the realities of rural life, became formulaic and idealized, later leading to the emergence of individual concerns in the following generation, especially by women authors frustrated with marginalization. Strong women emerged to make social critiques of earlier eras, as exemplified by the narratives of Leyla Erbil, Sevgi Soysal, and Füzûzan. Other writers retreated into isolation and alienation, such as Oğuz Atay (noted for his iconic novel *Tutunamayanlar*, 1972; *The Good-for-Nothing*), Bilge Karasu,

and Yusuf Atılgan. Furthermore, themes involving Islam and lived traditions began to appear with greater frequency, perhaps filling “spaces” evacuated by large-scale socialist movements that had failed to gain political power and transform society. At the same time, the *hidayet romanı* (Islamic novel) grew through the efforts of authors such as Şule Yüksel Şenler, Ahmet Günbay Yıldız, and Mustafa Miyasoğlu.

The “inter-coup” era was a socially fragile period that witnessed the removal of intellectuals from life, career, and family in society. Irony and sarcasm about ideological projects on the left and the right began to make their way into fiction, and depictions of alienation become prominent. Themes include the critique or indictment of national and socialist modernity from the perspective of its victims: women, alienated intellectuals, Islamicists, and other marginalized populations. Adalet Ağaoğlu’s *Ölmeye Yatmak* (1973, *Lying Down to Die*) is a novel that represents this period with a female protagonist, Aysel, a professor who withdraws to a hotel room to commit suicide. The focus on the plight of one woman is set against a reckoning of Turkish history between 1938 (Atatürk’s death) and the revolutionary upheavals of 1968 in Europe. Aysel has had an affair with one of her students, Engin, and believes she might be pregnant. The moral and ethical implications disrupt everything she has known about bourgeois life in Turkey. The reemergence of sexuality is an important theme here, and the novel represents the stirrings of second-wave feminism out of the first wave (“state feminism”) in the Turkish context.

REPUBLICAN LITERARY POSTMODERNISM

The strong hold of committed literature of social engagement and realism delayed the

acceptance of formal innovation in the novel that relied on metanarrative, metahistory, and deconstruction. Republican postmodernist writing focused on historiographic fiction, fantasy, and parodic genres that placed literary artifice over and above socialist concerns and Anatolian realism. The literary establishment reacted with animosity toward such cosmopolitan formal innovation, which also implicitly critiqued the narrative of national and social progress. Well-known practitioners of this trend include Oğuz Atay, Bilge Karasu, Hasan Ali Toptaş, and İhsan Oktay Anar.

Post-nationalism and neo-Ottomanism (1980–2002)

The leftist intelligentsia marks the 1980 coup as the beginning of “depoliticization,” a first step in reorienting society toward neoliberalism. In literature, this led to drastic changes, as writers responded to the political transformations by moving away from social issues and realism in a manner that questioned grand narratives of nationalism/Kemalism and socialism through aesthetic experimentation with content and form. Though these trends could be more generally labeled part of postmodernism, their manifestation in the Turkish context can be further specified as expressions of literary post-Kemalism, post-socialism, and neo-Ottomanism (not to be confused with the political ideology).

A strong Marxist tradition led to a delay and resistance to the representation of postmodernism, a literary category that was suspect to the practitioners of engaged literature and the literature of witness. The novels of this period acknowledge the collapse of metanarratives of socio-national progress through the multiplication of perspectives, the ironic revisiting of Ottoman history, parody, formal experimentation, and the subversion of realism through

fantasy or magical realism. Latife Tekin and Nobel laureate Orhan Pamuk define this generation of writers. Pamuk’s ever-changing narrative style reached the first of many peaks with his third novel, *Beyaz Kale* (1985; *The White Castle*, 1990), a concise historical metafiction that subtly criticizes authoritarian nationalism while reintroducing the Ottoman past to a sophisticated, literary readership. Furthermore, the novel presents an allegorical challenge by subverting the self/other binary through a display of narrative finesse that marked Pamuk as a postmodern writer. In the novel, a Venetian slave and his Ottoman master reveal their worlds to each other until they begin to overlap. The Ottoman theme in Pamuk’s work is picked up again with *Benim Adım Kırmızı* (1998; *My Name Is Red*, 2001), a complex and fragmented work that takes the flat, two-dimensionality of the Ottoman miniature painting and transforms it into a living, vital, aesthetic model pertinent to the present day. The novel, combining a number of genres, is a historical murder mystery focusing on the imperial miniaturists’ guild and a mysterious book that the Sultan has commissioned. In its multiplicity of narrators and its aesthetic self-consciousness, the novel becomes Pamuk’s “large canvas.”

Cosmopolitical texts (2002–present)

There are a few hundred novelists writing in Turkish today. The novels of the youngest generation of Turkish writers, represented by Murat Uyrakulak, Şebnem İşigüzel, and Elif Şafak, are emotionally charged, cynical, and violent. They are political, yet promote distance from their immediate cultural affiliations. The novelistic claims by these authors are cosmopolitical in that they have multiple national and international affiliations that strive for transnational legibility and relevance. This is the generation of EU

accession politics and the rise of the Justice and Development Party, which won general elections in 2002 and 2007. The writers of the newest generation do not ascribe to any particular movement in the traditional sense. Their idiosyncrasies, experimental in terms of form and content, are, however, unified in one important respect: their work represents a mixing or crossing of traditional novelistic styles that might include DETECTIVE stories, underground fiction, youth subcultures, and fantasy. The boundaries that they cross in their fiction challenge the limits of national tradition through transgressions of taboo, history, gender, and GENRE. They have learned to live with contradictions rather than trying to resolve them. In the wake of the collapse of grand narratives of modernization, nationalism, and socialism, and in an increasingly consumerist culture, they explore new avenues of cynical narration that unsettle concepts of belonging.

Representing the first generation to grow up within the neoliberal system that was established after the 1980 coup, these writers are tacticians of resistance on an individual rather than social scale. They have little conviction in monolithic ideologies, but they do have an inkling of the market of identities and a multitude of sites of power influencing one's choices. In short, there is a new relationality in these works, a new way of seeing the regional and international world into which Turkey has increasingly become integrated. Importantly, these authors are redefining what it means to be Turkish.

Uyurkulak's *Tol* (2002, *Revenge*) is a reassessment, an unofficial history, of the previous fifty years of Turkey's history told from the perspective of poets, revolutionaries, and madmen from various generations. The fragmented plot revolves around an alcoholic poet ("Poet") and a proofreader, Yusuf, who has lost his will to live. The

two are on a train journey from Istanbul to the heavily Kurdish region of Diyarbakır—two cities representing the opposing poles of modern Turkish modernity and oppression/dispossession. *Tol* conveys the perspective of frustrated leftist idealism that exacts its revenge against the state and a system of war, inhumanity, and capitalism through alternative narratives and ways of being.

This 150-year overview of Ottoman and Republican literary modernity reveals that the Turkish novel has not stayed within the confines of historically determined binaries of modernization such as "East and West" but has established contingent tropes and chronotopes of literary modernity, modernism, and postmodernism.

BIBLIOGRAPHY

- Evin, A. (1983), *Origins and Development of the Turkish Novel*.
- Göksu, S. and E. Timms (1999), *Romantic Communist*.
- Gürbilek, N. (2010), *Return of Turkey*.
- Güzeldere, G. and S. Irzik (2003), *Relocating the Fault Lines*.
- Holbrook, V.R. (1994), *Unreadable Shores of Love*.
- Moran, B. (1983), *Türk Romanına Eleştirel bir Bakış* [A critical look at the Turkish novel], 3 vols.
- Ostle, R., ed. (1991), *Modern Literature in the Near and Middle East 1850–1970*.
- Pamuk, O. (2007), *Other Colors*.
- Rathbun, C. (1972), *Village in the Turkish Novel and Short Story 1920 to 1955*.
- Seyhan, A. (2008), *Tales of Crossed Destinies*.

Typography

ROBIN KINROSS

Novels are written in prose rather than in verse. This simple insight promises to stimulate philosophical and historical investigations into the nature of the form. But any

description of what the pages of almost every novel look like is so far largely missing. When a novel's typography is mentioned it is usually to point to pages that depart in some way from the norm. The normal page is one in which lines of text are arrayed under each other to form a rectangular block surrounded by sufficient margins of unprinted paper. Outside this block of text there will be page numbers and, often, headings or "running headlines" that give the title of the book and the chapter.

Unlike verse, a line of text in a novel does not contain meaning. The breaks at the end of a line happen more or less arbitrarily, governed only by whatever rules are being followed for where to break a word, if a word has to be broken. In a novel the lines of text will almost always be justified. By varying the spaces between the words they will have equal, constant length. A page will be brought to an end at its last line. The attention of the typesetter, or whoever is making the blocks of text into pages, is brought to bear only when one line of the prose-unit, typically a "chapter," is left stranded at the top of the following page. Computers now assist in these processes.

Pages made in this way become containers for the flow of text. The writer writes it; the typesetter pours it into these molds. The resulting page will be a fairly robust and unremarkable device that suits and, to some extent, makes the novel possible. Because the strict, unvarying visual form does not carry meaning, many things can happen in the imagination of the writer and the reader. Standardized pages accommodate both "large loose baggy monsters, with their queer elements of the accidental and the arbitrary," and the short, tight, slim texts of twentieth-century MODERNISM (Henry James, 1908, *Tragic Muse*, Preface).

Yet there is more to say, particularly about the ways in which a text is embodied in apparently mundane pages. As the

historical bibliographer D. F. McKenzie argues convincingly (1999, 2002), the form of the book and of the text plays a constituent part in its meanings. Pour the text into another mold of different letterforms, different sizes, different spatial configurations, and the meanings of it will change. McKenzie's examples are mainly of poetic and dramatic texts in which typographic form is more meaning-charged than in the continuous text of the novel, but these ideas apply equally to prose works.

MEANINGS IN THE NORMATIVE PAGE

Printed text carries its history with it, visibly, and in its touch and smell. From picking up the book and looking into its pages, without reading a title or an imprint page, one will usually be able to tell by what processes the text was set and printed, and when and where it was made. Any published novel will have that particular embodiment.

Robinson Crusoe by Daniel Defoe helps make some of the necessary distinctions clear. Henry Clinton Hutchins established the early bibliographical history of this work in 1923. Compare the first four licensed English editions of *Robinson Crusoe*, all published in 1719 by William Taylor (see fig. 1), with two pirated editions of that same year: the so-called "Amsterdam" coffee-house edition and the "o" edition. The licensed editions are typographically unremarkable, normal products of the English printing and PUBLISHING trade of that time (see fig. 1). The unlicensed editions reveal the nature of their publication in the rougher quality of their typesetting and printing. In the case of the "o" edition, named after its misspelling on the title page, *The life, and strange surprizing adventures of Robeson Cruso, mariner*, the typesetting is wild, evidently done on the cheap and in a hurry.

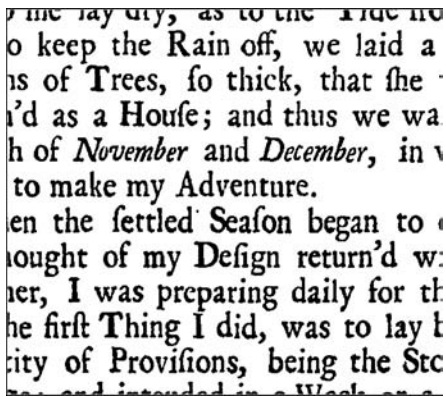


Figure 1 Typography in a 1719 edition of Daniel Defoe, *Robinson Crusoe* (London: William Taylor), illustrates the normal product of the English printing trade of the time

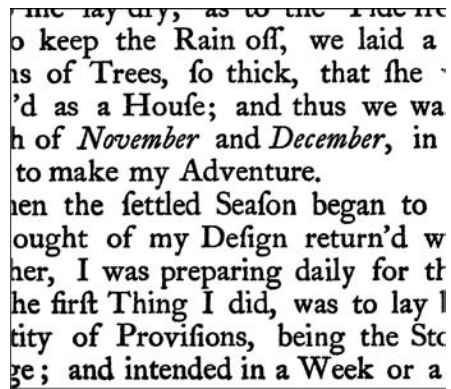


Figure 2 Typography in the 1883 “facsimile” edition of *Robinson Crusoe* (London: Elliot Stock) is similar, yet every character and every space is different

Type of different fonts and styles is set together, and there are parts of the text in which italic is used only because there can have been no roman to hand. The only meaning to read into the typography of these pages is “unlicensed.”

In 1743 a French TRANSLATION of *Robinson Crusoe* was published in Amsterdam by Zacharie Chatelain. It looks different from the English editions of the time. This is partly, of course, because the language of the text is now different. Put the text into another language and the visual appearance of it must change, however well the meanings of the text have been captured by the translation. But further, the conventions of French typography (émigré French, in this case) were slightly different from those of English typography. The type is a little larger, the lines are a little shorter, and the title page is more grandiloquent.

In 1883 the London publisher Elliot Stock issued an edition described on its title page as “a facsimile reprint of the first edition published in 1719” (see fig. 2). On looking at these pages, someone familiar with the first edition might easily believe that the 1883 edition is indeed a reprint of the original

made by photographic methods. Its text matches the book of 1719 line for line, page for page, word break for word break. But a more careful look shows that, though the type used is a close match for the original—Elliot Stock used a revival of an eighteenth-century model similar to the Dutch type used by Taylor in 1719—the type is too smooth, too regular, too evenly printed to be the product of the worn type and wooden presses of seventeenth-century printing. This was a painstaking emulation of the original setting using the best tools of late nineteenth-century small-industrial production. The typesetting was almost certainly done by hand rather than by the powered machines that were just then being developed. The Elliot Stock edition is eerily reminiscent of the book of 1719. Its text seems to match its model in every detail of setting and spelling; the long s’s and ligatured characters are faithfully copied. Apart from a few inevitable errors, it can be considered the same as the text of the 1719 edition. And yet, it is quite distinct. Every character and every space is different. The paper is machine-made rather than handmade. The image of the characters is regular and light where the

original image is ragged and imperfect. The book speaks of “England in 1883”: of the attempts to recover and preserve historical artifacts by imitation, using the latest technologies.

How and to what degree one can copy an original are issues of constant concern to anyone editing historical texts. The line-for-line emulation practiced in the Elliot Stock edition is usually a step too far. Labor costs will hardly ever allow it. But how far should one go in copying orthography and spelling? In the University of Florida Press and Penguin Classics editions of Laurence Sterne’s *Tristram Shandy* (ed. Melvyn New and Joan New, 1978, 2003)—a work that has come to be a primary instance of the typographically conscious novel—the different kinds of dashes used in the first printings of the book are faithfully copied. The nine volumes of the novel, issued over eight years (1759–67) by three different printer-publishers, use dashes of different lengths. It is hard to see any consistent system at work in their deployment by any of these printers. The first two volumes, printed by Ann Ward in York and thus near at hand to Sterne, are especially idiosyncratic in their use of a series of hyphens for a dash. Two, three, or four hyphens may be set this way, but elsewhere dashes of varying lengths are used. One can guess that a certain size of dash was employed ad hoc to help out with the justification of that particular line. If a long dash would not quite fit in a line without causing problems, then a shorter one might be used. If the modern edition is not following the word and line breaks of the original, the necessity behind that choice of dash is lost. The fact that the modern editions are set without any attempt at imitation of the original type or the original paper, as in late nineteenth-century facsimiles, further undermines this partial attempt at typographic emulation.

AUTHOR AND TYPESETTER

Any attempt to assign meaning to typographic effects in a novel based on the size or style of letters or the use of marks, symbols, or the spaces that are the repertoire of typography will need to be aware of what was within the scope of the writer at that time and in that place. What sort of communication did the author have with the publisher and the compositor of the novel? The liveliness of the pages of some eighteenth-century novels seems to derive from a number of factors.

During the eighteenth century, relations between authors and those making the books could be quite close. The publisher and printer were usually the same person. In the exceptional case of Samuel Richardson, the author was a printer and publisher by trade. Richardson would have been able to oversee the production of his own novels, though some editions were put out to other printers. In her work on English novels of this period, Janine Barchas treads carefully. She notices the graphic and typographic effects and considers what part they might play in the design of the novel, but she holds back from any historically unsupportable interpretation. In her study the term “graphic design retains its literal meaning as the intentional use of graphic effects for novelistic purposes. For example, the decorative pieces that are used to show a gap in the time of the novel could perhaps have been chosen to match the scene and characters of that moment in the story, or they could merely have been taken by the compositor from what was available in his case of ornaments on that day. These ornaments were, after all, stock devices, designed for a wide variety of uses and not made especially for the work in question.

As publishing and printing began to separate into two distinct practices, so an author’s ability to take part in the design

of pages diminished. The larger the publishing firm, the less input authors could have in how their books would be made. This widely recognized standardization of book design was reinforced by technical changes in text composition, above all the introduction of powered text composition, which began in the closing years of the nineteenth century in the U.S., Western Europe, and the territories of the British Empire. But already with handset type, in printing offices of even moderate size, the work process had to be split between compositors and thus needed to be governed by common standards and routines. Another less recognized factor in this process of normalization was the growing use of type-writing machines by writers, secretaries, and copyists. With the waning of the hand-written text, the possibilities for graphic effects decreased. Any special desires that an author or publisher might want would need to be drawn by hand in a “layout,” a mimetic instruction for the printer’s compositor to follow. Wytze Hellinga published a suggestive survey of over five hundred years of surviving material evidence of “copy,” the author’s text with any instructions for typesetting or layout, and “print,” what this copy became.

In his discussion of what he calls “the revolution in the layout of books in the eighteenth century,” Nicolas Barker reluctantly adopts the term “layout” in preference to “typography” to describe what others in and outside of France have sometimes called *mise en page* (127). He thus passes over the narrower specialist sense of layout as a plan used to convey instructions. (This short text was written as a lecture for the same 1977 conference at which McKenzie first gave his paper on typography and the meaning of words.) Barker of necessity uses a broad brush. He sketches the national styles of page design in France, Germany, and England to show

how simplification and standardization changed from Baroque elaboration of the display elements of a text to the plain, undecorated pages that we can now see as beginning the modern style. The prosaic pages of novels are hardly touched on in Barker’s rapid survey, and his propositions have never been taken further. His analysis needs display pages, especially title pages, with which to work, while remaining silent on the rest of a book.

In the twentieth century, publishing and printing procedures became ever more routinized and divided. Publishers typically became parts of conglomerated firms, and printers became not much more than a means of duplicating the files of data that these publishers supplied. Although novels of eighteenth-century typographic exuberance have sometimes been attempted under these conditions, their effects have been hampered by the fact that the final process of producing pages has not been in the author’s hands. The ease with which a Richardson or a Sterne could deploy such effects has gone; it cannot be re-created or emulated with the present materials of typography and book production. Some writers are now beginning to bypass conventional publishing and printing processes by preparing PDF (portable document format) files of their pages to be downloaded from websites or issued in the single copies or small runs of “print on demand” editions. The production of pages is in the hands of the writer as it never was before, though writers would do well to seek the help of typographers for advice and final execution. Whether the resulting pages carry plain prose or semantically shaped configurations, such routes to publication open the way for texts that would not otherwise be duplicated and distributed.

SEE ALSO: Author, Editing, Paper and Print Technology, Reprints.

BIBLIOGRAPHY

- Barchas, J. (2003), *Graphic Design, Print Culture, and the Eighteenth-Century Novel*.
- Barker, N. (1981), "Typography and the Meaning of Words," in *Buch und Buchhandel in Europa in achtzehnten Jahrhundert*, ed. G. Barber and B. Fabian.
- Ginsburg, M.P. and L.G. Nandrea (2006), "The Prose of the World," in *Novel*, ed. F. Moretti, 2 vols.
- Hellinga, W.G. (1962), *Copy and Print in the Netherlands*.
- Hutchins, H.C. (1925), *Robinson Crusoe and Its Printing*.
- McKenzie, D.F. (1999), *Bibliography and the Sociology of Texts*.
- McKenzie, D.F. (2002), *Making Meaning*.

U

Unfinalizability *see* Bakhtin, Mikhail

United States (19th Century)

SHIRLEY SAMUELS

Writing about the nineteenth-century novel in the U.S. in 1957, a moment of the consolidation of the canon of American literature, Richard Chase drew a firm distinction between the novel and the romance: unlike the romance, he declared, the “novel renders reality closely and in comprehensive detail” (12). He cites the novelist Nathaniel Hawthorne in his preface to *The House of the Seven Gables* (1851): “When a writer calls his work a Romance, it need hardly be observed that he wishes to claim a certain latitude, both as to its fashion and material, which he would not have felt himself entitled to assume, had he professed to be writing a Novel” (18). The implication here is that the canonical works of nineteenth-century U.S. literature such as Hawthorne’s are not, in fact, novels at all: just as it was held in the mid-twentieth century that the history of the U.S. was an “exceptional” case, so, apparently, was its literature. For all the influence Hawthorne has had on the form of the novel, such a distinction has not persisted in the critical analysis of nineteenth-century fiction. Rather, scholars have come to recognize a rich diversity of forms and genres of the novel in use in this period, and their engagement with the complex social and

political issues of this moment. They have also returned to a historical context in which questions of readership challenge conventional assumptions such as Chase’s about literary value and canonicity.

Hawthorne, whose novel *The Scarlet Letter* (1850) had a limited readership at publication, later achieved canonical status, a detail that would have shocked professors in his New England college. In their moment, popular fiction was represented by, among other genres, the sensation fiction of George Lippard, George Thompson, and E. D. E. N. Southworth, exposés of urban crime that advanced the motif of class transgression, which also appeared later in the century in Horatio Alger’s popular novels of newsboys who rose to riches from the streets of Boston and New York (*see* DETECTIVE). Some of the most popular novels of the nineteenth-century U.S. focused on RELIGION. Prime examples are *The Wide, Wide World* (1850) by Susan B. Warner; *The Gates Ajar* (1868) by Elizabeth Stuart Phelps; and *St. Elmo* (1866) by Augusta Evans. But the religious virtues these writers celebrated were not compatible with a later concept of great literature based on aesthetic values. Such values became separated from the polemical circumstances that influenced many nineteenth-century novels in the U.S.

The relation of polemics to the role of the novel in the nineteenth-century U.S. influences the approach taken in this entry. In particular, the claims authors make as they negotiate boundaries for the projects of the

novel appears here in my attention to the complexity of the novel's many claims on a believable relation to historical events. Specifically, the edge between historical realities and fictional constructions frequently becomes blurred and this entry pays close attention to the times when the novel crosses boundaries.

Writers in the nineteenth-century U.S. found themselves busy responding both to political changes in national boundaries and to market changes in producing fiction. Witnessing such dramatic historical shifts as the Civil War and the end of slavery, their fiction created a shift in the related concepts of the nation and the novel. Indeed, the formal construction that came to be known as the American novel emerged from an early attempt to document historical change in the new nation. To consider how the novel evolved during the nineteenth century, we must look at the formatting of GENRE within, for example, the EPISTOLARY, GOTHIC, sensation, sentimental, and HISTORICAL NOVEL. The epistolary and gothic novel forms were fading by the early nineteenth century. Novels of sensation and sentiment held sway until mid-century, when the Civil War produced a gloomier reading public whose appetite for realist and naturalist fiction was honed through the rise of urbanization and industrial capitalism (see NATURALISM, REALISM). Historical fiction, however, remained popular throughout the nineteenth century.

THE PLACE OF POLEMIC IN THE NINETEENTH-CENTURY NOVEL

That nineteenth-century writers used fiction to compel action emerged from a history of significant public uses of narrative. In New England, for example, the earlier practices within a state-sanctioned church to publicly declare religious conversion in effect produced identity as the proper business of narrative. To tell a public story

about private identity, within a community that presents the narrative formation of a self as fundamentally important, began as a condition for joining a religious community. The community of readers that emerged in the nineteenth-century U.S. began by reading novels that emphasized interiority. In relating private reading and public action, such novels also related reading and political mobilizing, transforming at once public spaces and interior spaces, the space of the mind and the heart, through narrative declaration. Conversion narratives were popular well into the nineteenth century, yet they were eclipsed by captivity narratives, typically depicting escape from an Indian raid. These accounts of compelled errands into the wilderness became transformed into origin stories for other forms of American identity. Stories about escape from captivity were joined by escapes from slavery, emancipation narratives that fused racial differentiation with the progressive enlightenment associated with Christianity (see AFRICAN AMERICAN). Learning to read in these accounts provides access to freedom. In the nineteenth century, such accounts overlap with the historical romance to forge national narratives into courtship dramas. These travels through time further supplement travel narratives that produce vicarious existence and also reinforce the concept of "home."

Fiction written before and after the U.S. Civil War presents different accounts of violence. In particular, nineteenth-century fiction refers to wars such as the American Revolution, the Mexican–American war, Indian warfare, and concepts of borderlands. Later in the century, realist and naturalist fiction describes the failure of reconstruction and the tactics associated with lynching, in novels such as *Contending Forces* (1900) by Pauline E. Hopkins. The very foregrounding of the color red in novels such as *The Scarlet Letter* and Stephen Crane's *The Red Badge of Courage* (1895)

emphasizes the color of blood as the color of shame and belonging at once. These novels, long taken as markers of U.S. adolescent passages, as well as staples of the literature classroom, produce value through allusions to blood. Novels frequently use killing to motivate movement of characters and plot and mobilize identities through staving off interracial sex and, indeed, any chance of reproduction. Such tactics appear in almost all of James Fenimore Cooper's novels.

Although the Civil War continues to serve as a momentous dividing line between the understood antebellum and postbellum novels, it scarcely ever appears as a subject in the postbellum world of fiction. Before the war, troops declared themselves to be inspired by the bestselling *Uncle Tom's Cabin* (1852) by Harriet Beecher Stowe. During the war, Northern troops sang "John Brown's Body" and "Mine Eyes Have Seen the Glory" to the same tune. Southern troops read Augusta Evans's *Macaria* (1864), which was dedicated to the "Glorious Cause" (and secretly read in the North). A less known postwar exception to the great silence in fiction about the war experience is John DeForest's *Miss Ravenel's Conversion from Secession to Loyalty* (1867). DeForest was said to have issued the call for the great American novel and is credited as the first to use the term. Yet the major novel associated with the Civil War had to wait a generation. Crane's *The Red Badge of Courage* formulated for the warriors who survived an account of fear and cowardice, as well as heroism, that has seldom been equaled.

THE HISTORICAL NOVEL

Many of the novels most often associated with the nineteenth-century U.S. are historical novels, presenting episodes from U.S. history through the lens of the author's nostalgic retelling of past trauma. *Moby-Dick*

(1851) by Herman Melville analyzes the whaling industry as it went into decline; *The Scarlet Letter* revisits Puritan judgments about sin two centuries later; and *Huckleberry Finn* (1884) by Mark Twain reenacts the crisis of slavery decades after the Civil War had ended the practice.

The best-known of the early practitioners of the historical novel was James Fenimore Cooper, whose *Leatherstocking Tales*—*The Deerslayer* (1841), *The Last of the Mohicans* (1826), *The Pathfinder* (1840), *The Pioneers* (1823), and *The Prairie* (1827)—were popular in his day, and remain canonical. Cooper was charged with imitating the famous historical novelist across the Atlantic, Walter Scott. Such an anxiety of influence makes it even more difficult to see early historical novelists such as the prolific southern author William Gilmore Simms, the Maine author John Neal, or the Border States' John Pendleton Kennedy as other than imitators of Cooper. Gestures of dominance and subordination recur in descriptions of women authors as well. Although ranked as a peer by her contemporaries, Catharine Maria Sedgwick wrote historical fiction whose reputation gradually dimmed in relation to that written by Cooper.

Anxieties about cultural value still pervade critical descriptions of authors such as Cooper, Sedgwick, Neal, or Lydia Maria Child. Some of this has to do with the difference in contemporary sensibilities toward the raw facts of American history, as when novels engaged readers (and citizens) in defending the atrocities of border warfare. In *Hope Leslie* (1827), for example, Sedgwick's prefatory remarks at once declare her reliance on original records and call attention to the domestic nature of her concerns. Sedgwick's narrator allows the historical record to speak tellingly; she cites the seventeenth-century Massachusetts governor John Winthrop, who called it a "sweet sacrifice" when his troops burned Pequot women and children. Nevertheless, this, and

other historical romances like the Leatherstocking Tales, Neal's *Logan* (1822), and Child's *Hobomok* (1824), offered to do for America what Scott had done for Scotland: provide a heretofore colonized country with a history (see NATIONAL).

While these authors produce an American identity through historical romances patterned on classical or Shakespearean themes, they also produce dramas whose crises reach the most difficult edges of the American landscape. These dramas include controversial topics: Indian–white marriage or progeny, incursions or excursions west or south, and the sexual vulnerability of women. Delineating the boundaries of such topics provided the U.S. novel with its hardest challenge.

READERS AND WRITERS

The vicarious experiences that formed part of the novel's appeal depend in part on the development of a middle CLASS, that class of persons that emerged from the novel-reading practices of a leisure class once chided for the conspicuous consumption of idle time. The relation between class formation and the novel was affected by the changes in agriculture made possible by urbanization and industrialized labor. Increases in the production and consumption of novels in the early U.S. accompanied the emergence of the middling classes.

Novels display new understandings of what it is to have a separate and private identity that accompanies a desire for the privacy that might be necessary for reading them. That is, at the same time that they market and display this identity, novels encourage reading practices that will aid and abet it. In so doing, novels reinforced class stratification at a time when newspapers were available everywhere and novels initially an expensive reading pastime.

Many early novels are epistolary, presenting their plots through a series of linked letters, as in *The Coquette* (1797), by Hannah Foster, or through the conceit of an extended letter, as in *Wieland* (1798) or *Edgar Huntly* (1799), by Charles Brockden Brown. The essentially mobile quality of the letter as a device, as a piece of writing designed to be mobile, reflects the mobility of the population as well as the increasing mobility of the novel as an object. Early nineteenth-century novels could be carried around in pockets. The epistolary nature of these novels may also allude to the way they take up the private space in the home that might also have been occupied by letters and letter writing.

Novels in the early U.S. republic emphasized the training for citizenship that reading might confer. Novels that empowered forms of thinking were favored, whereas those that encouraged bodily sensations were viewed with suspicion. Like other guilty pleasures, however, they were nonetheless pursued. Contemporary critics expressed anxiety about corrupting young women by fiction, yet they also pressured writers to produce national romances (see DEFINITIONS). Some of these tensions were addressed by authors like Tabitha Tenney, who presented a burlesque of the novel-reading heroine Dorcasina Sheldon as a “true history” in *Female Quixotism* (1801). Similarly, writers of historical fiction such as Sedgwick and Child also wrote numerous domestic fictions and works for children. When he began to write, Cooper, the most famous creator of fictional men in the wilderness, still understood his audience to include women readers.

SPACE AND DOMESTICITY

Attention to the Americanness of fiction became blended with the staging of national drama through adventures of courtship and

marriage. Historical romances thus energize the cultural work performed by the novel by engaging emotional attachment to a nascent nation. This attachment frequently operates through correlations between the destinies of women and the destinies of national movements. In many novels, romance and marriage are related to the transmission of property. Thus, while mid-twentieth-century critics celebrated the autonomous male “hero in SPACE” (Lewis) and the encounter with “virgin land” (Smith), plots of early novels frequently focus on women’s bodies. In other words, issues of seduction, courtship, and marriage become ways to talk about the nation’s destiny.

Enforcing as well as enacting relations between public and private spaces, the novels of the rapidly expanding U.S. bring landscapes home. For example, *A New Home, Who’ll Follow?* (1839) by Caroline Kirkland critiques but also uses the language of opportunism as it promotes a class that could appreciate the landscape (as possible purchasers); hence, the novel works at once as a satire and as a sales pitch. Tracing domestic life at the frontier of Michigan, the novel asks how reading practices persist when readers must negotiate between romance and land contracts. The romance appears as various fantasies that have inspired new settlers; the contract intrudes as they try to survive collisions with corrupt land speculators.

As the popularity of novels increased and as methods of production and distribution improved, the contents of novels shifted. During the early national period, the nascent ideologies of the early U.S. nation were necessarily caught up with embodiments—such as the charged rendition of bodies in domestic spaces characteristic of the GOTHIC novel. To speak of how bodies appear in domestic spaces, whether in historical fiction or novels by women, also calls attention to the novel’s investment in moving

between interiors and the natural world. Whether looking at women at home or men in the wilderness, early republican novels produce attention to spaces that are at once gendered, classed, and racialized (see GENDER, CLASS, RACE). That is, through attention to the invasion or destruction or abandonment of homes, the question of who may be permitted to be at home in the new nation is repeatedly and dramatically lived out.

The texture and detail of being displaced from a home dominate the best early novels as they move from landscapes like the maze of wilderness facing Cora and Alice Monroe in Cooper’s *The Last of the Mohicans* to the streets of Philadelphia wandered by Arthur Mervyn in Charles Brockden Brown’s eponymous novel. Solitary bodies repeatedly stand out against these backgrounds. In Sedgwick’s *Hope Leslie*, the Pequod Magawisca jumps from a great height to interpose her arm for the neck of her beloved Everett, the son of white settlers; in Cooper, the dark figure of Magua, felled by the rifle of the ambiguously white Hawkeye, topples over a precipice; in another eponymous Brown novel, the beleaguered Edgar Huntly crouches in a cave, gnawing the raw flesh of a panther.

And yet, though the plots of these novels often depend on what will happen to a woman alone in a house or a man alone in the woods, the protagonist is not merely alone. The spectatorial function of the reader and the presence of the author (often highlighted by asides) are mimetically engaged by a hidden observer, usually in the form of an alien presence. From the ventriloquist Carwin hidden in Clara Wieland’s closet to the murderous lurking of Magawisca’s father in *Hope Leslie*, from the malevolent vigilance of Magua in *The Last of the Mohicans* to the designs of the seducer in *Female Quixotism*, or even the comic bumbling of Teague O’Regan in the extended production of *Modern Chivalry* (1792–1815) by Hugh Henry Brackenridge, such lurking figures are

usually Irish or Native American. The conspiracies these figures portend serve to highlight a whiteness at once vulnerable and inept (in contrast to the abilities of the onlooker) and yet resourcefully resilient (implicitly because American). The very vulnerability of the main characters might be said to produce Americanness as embodied. And even as they suggest equivalence between whiteness and vulnerability, these novels ruthlessly identify and exclude exceptions. But in excluding the alien from the newly constituted nation, novels like *Edgar Huntly* internalize alienation. After a dreamlike search through the wilderness, Edgar Huntly wakes assailed by a thirst so powerful that he imagines drinking his own blood. Instead, he first drinks the blood of a panther and then kills so many Native Americans that the blood soaks his skin and hair. He thus wakes to violence that makes the wilderness into a national home, the site of the incorporation and domestication of a savagery that can no longer be projected elsewhere.

CROSSING BORDERS

Anxieties about border crossings pervade the nineteenth-century U.S. novel: the boundary of the ocean, the nation, the alien territory. Even the boundary line between animal and human comes to seem a national border, possibly to be crossed, suspiciously and repeatedly to be named and described. Paragraphs appear in Cooper's frontier fiction to explain which appearances are human and which are animal for the benefit of confused interlopers from white settlements. The domestic enclosures or temples of rural retreat that appear in the fictions of Brockden Brown tend to be safest in England: transplantation to the new world means violation. In short, the business of America often appears as the violation of the

expected boundaries between animal and human, Indian and white (see RACE).

Such violations of boundaries include confusion about boundary crossing. Race and SEXUALITY, for example, often stand in for each other. If Cooper writes fictions that provide a wilderness foundation for the national sense of self, he also writes foundational nightmares that propose that to shed blood in the wilderness might enable certain forms of socially approved marriage. By producing a phenomenally engrossing figure like his hero Natty Bumppo, who repeatedly stalks into the wilderness in ambiguous relation to a male Native American companion, Cooper also opens the door to figures like Nick Slaughter, created by the southern novelist Robert Montgomery Bird. In *Nick of the Woods* (1837), the goal of avenging the death of his family motivates often indiscriminate and grotesque carnage against Native Americans.

This gothic tale, like Cooper's, also relies on a plotting of inheritance, stolen birthright, and courtship with a suspiciously dark heroine to resolve the matter of alien boundaries. And however much it may flirt with racial mixing, like *The Last of the Mohicans*, the novel ends with the marriage and retreat of the racially palest characters. Even in gothic fiction like Brown's *Wieland*, forms of miscegenation threaten national identification—of the nation or of citizenship as a racial category. Perhaps through the novel's preoccupation with the maintenance of order, sexuality becomes racialized. Moves to legislate the boundaries of race and identity subsume or merge with land claims that depend on courtship narratives. Notably, contests about identity seem to invoke a valorizing in which, for example, class trumps gender, sexuality trumps class, and race trumps sexuality. Each seems to gain ground, as it were, at the expense of another. The relation between possessive individualism and the

individual's possessions—whether in land or in bodies—appears as part of the founding gesture of the republic.

In crossing the boundaries that the New World presented, the increasingly popular form of the novel provided an uneasy but enduring form for the romance of America. As the generation of the 1820s turned to writing the story of the American Revolution fifty years later, the romance of the nation and the romance of the family collided. The intangible business of locating national identifications through novels emerged through material questions of landownership and women's bodies. In novels, rewriting the revolution as a founding moment could subsume the tensions caused by expanding immigrant populations and the new territories claimed in the name of a coherent nation. At the same time, as a political investment in national narrative began to take form in the novel, the founding stories of families were uneasily located in the tense relation between property and women's bodies.

In addition to the novel's attention to transatlantic migrations and, famously, to the whale trade, the internal migrations, along the rivers and inland waterways of the U.S., preoccupy its characters. These internal migrations along the geographic terrain markers of such waterways accompany migrations internal to the body, such as that of blood. Concepts of sacrifice draw on a contract, a compact sealed with blood sacrifice, as in the story of Abraham and Isaac. The gesture of substitution also asks about the founding move of the nation as a city on a hill understood to be the compact, the "visionary compact" once proposed by John Winthrop that would allow other substitutions.

Such relations appear in the most prominent fiction writers of the mid-nineteenth century, Harriet Beecher Stowe, Nathaniel Hawthorne, and Herman Melville. Each published a momentous novel between 1850 and 1852. In Stowe's bestselling *Uncle*

Tom's Cabin, the central concepts of property and bodies become a network shuttling in between the matters of slavery and reproduction. In short, the novel asks and answers, "What is it to have a child under a system of slavery?" It is to have offspring who are also property. The question of children born into a Puritanical New England addressed by Hawthorne's *The Scarlet Letter*, published the previous year, might appear far from the political crisis of *Uncle Tom's Cabin*. Yet the two works both investigate the close interweaving of religion and politics in determining what rights women have to their children.

Other Hawthorne novels, such as *The House of the Seven Gables* (1851), insist on the importance of inherited property in determining the identity of families. For Melville, the mobility of property separates it from women's bodies and reproduction in novels like *Moby-Dick*. Such attention to the relationship between property and women's bodies shows up throughout the nineteenth century, even in novels about the west, such as María Ámparo Ruiz de Burton's *The Squatter and the Don* (1885) and *Who Would Have Thought It?* (1872).

The pattern of increased urbanization later in the nineteenth century saw novelists turning to the structure of social class as they presented marital prospects. The formidably loquacious Henry James led the way for observers of social manners with novels like *The Bostonians* (1886) and *The Portrait of a Lady* (1881). In *Portrait*, the crisis faced by the new heiress Isabel Archer takes place on European soil, yet it becomes an American story by virtue of her American suitors and her American past. In *The Bostonians*, the quirky habits of an upper-class Boston culture formed in abolition and the movement for women's suffrage are observed from the perspective of Basil Ransom, a gentleman from the defeated South. The crisis of marital prospects is bound up in *Portrait* with

the cultural conflicts between the elites of Europe and America; in *The Bostonians*, they serve to imaginatively resolve the conflicts among members of this class in the American North and South.

However, some topics could only begin to be addressed in the nineteenth century. The consequences of racial oppression appeared in novels such as *Our Nig* (1859) by Harriet Wilson. Wilson's subtitle, "Sketches from the Life of a Free Black, In A Two-Story White House, North," suggests its aims. When Wilson asserts that slavery's shadow falls in the North, she brings the entire country together in the question of race and sexuality. Similarly, in *Clotel* (1853), William Wells Brown explored the extreme misery of light-skinned women sold into sexual slavery, with the provocative assertion that his title character was the mixed-race daughter of the former president Thomas Jefferson. The popular humorist who called himself Mark Twain started out with a boy's book, *Tom Sawyer* (1876), and then complicated readings of race and identity in the U.S. with the problematic story of runaways—one a white boy and the other a slave—on a raft headed down the Mississippi River in *The Adventures of Huckleberry Finn*. Twain revisited the questions raised by *Clotel* about racially mixed children whose ability to control their own futures is fatally compromised by slavery in his dark comic novel *Pudd'nhead Wilson* (1894). Such novels view the U.S. as a country conceived in liberty but repeatedly caught up in the proposition that its dedications engage slavery. To view fiction as a path to freedom persuasively carries these novels toward the twentieth century.

BIBLIOGRAPHY

- Baym, N. (1978), *Woman's Fiction*.
Chase, R. (1957), *American Novel and Its Tradition*.

- Davidson, C. (1986), *Revolution and the Word*.
Fiedler, L. (1966), *Love and Death in the American Novel*.
Fisher, P. (1985), *Hard Facts*.
Harris, S. (1990), *19th-Century American Women's Novels*.
Lewis, R.W.B. (1955), *American Adam*.
Samuels, S. ed. (2004), *Companion to American Fiction, 1780–1865*.
Smith, H.N. (1950), *Virgin Land*.
Tompkins, J. (1985), *Sensational Designs*.
Wald, P. (1995), *Constituting Americans*.
Warren, J., ed. (1993), *(Other) American Traditions*.

United States (20th Century)

ROBERT SEGUIN

The history of the novel in the U.S. during the twentieth century can in many ways be charted in terms of a fundamental, interactive tension between, on the one hand, the idea or sense of the national SPACE and, on the other, local or REGIONAL specificities or densities that are in some fashion resistant to this idea. The "NATIONAL" in this context signifies essentially the rapid and expansive unfolding of capitalist modernity in America following the end of the Civil War in 1865, an era that saw the increasing unification of what had hitherto been a more loosely aggregated national realm (see MODERNISM). With the full advent of industrialization, along with the widespread implementation of railroads and the telegraph, a genuinely national commercial marketplace was established for the first time. The rhythms of wage labor and commodity production (and consumption) became increasingly the norm, and people, goods, ideas, and images could now circulate more widely and easily than ever before, all of which fostered a manifold set of overlapping and often contradictory perceptions and experiences and offered up a new social

substance for literary reflection. Thus, modernity might be welcomed for its social dynamism and cosmopolitanism, or instead criticized for its rootlessness and cultural depthlessness; the local, meanwhile, might either be favored for its traditional values and sense of connectedness (to people, to the land) or shunned for its backwardness and refusal to embrace innovation. This multivalent, ongoing cultural dialectic of nation and region, intertwined with a tension between modernity and tradition, affords a productive framework for considering the course of the twentieth-century American novel.

One result of this dialectic was an efflorescence of so-called “local-color” writing during the late nineteenth century, to use the contemporary, somewhat condescending term—the condescension rooted in the fact that it was through local color that more and more women were writing themselves into the domain of literary fiction. These stories made of those regional folkways and sensibilities, before their subsumption within some overarching national culture, an object of frequently ambivalent representation. While first appearing before the Civil War (Harriet Beecher Stowe’s story “Uncle Lot,” from 1834, is often taken as an inaugural point of the genre), it is really from the 1870s onward that the *GENRE* develops fully. Local colorists paid particular attention to regional *DIALECT* and forms of speech, broadening the literary scope of American English. While the short story was the preferred form for regionalism, several important novels belong to the genre: Sarah Orne Jewett’s *The Country of the Pointed Firs* (1896), Kate Chopin’s *The Awakening* (1899), and George Washington Cable’s *The Grandissimes* (1880), the last two both set in New Orleans, as intensely liminal a city as one might find in the U.S. A novel like Mark Twain’s *Adventures of Huckleberry Finn* (1884), while often held up as the national

tale par excellence, is deeply indebted to the forms of local color, as is, to a lesser extent, the work of other realists of the period such as Frank Norris (in *McTeague*, 1899 and *The Octopus*, 1901) and Harold Frederic, whose remarkable *The Damnation of Theron Ware* (1896), while ostensibly about a crisis of faith, is at a deeper level an acute analysis of the sources of cultural and ideological authority. A common device in local-color writing was the use of an “outsider” *NARRATIVE PERSPECTIVE*—an urban visitor to some rural locale who in effect *FRAMES* the story and sets up at least the opportunity for a certain bidirectional estrangement or ironizing. This structural pattern has in turn helped fuel the longstanding critical debate about the genre, i.e., whether it represents a genuine effort of preservation and regional advocacy or rather a kind of literary tourism for urbanized readers, one that merely enfold the local ever more surely within modernity’s web.

AMERICAN NATURALISM

Regardless of this question of generic function, regionalism doubtless expanded the reach of *REALISM*, if we follow that account of realism which stresses its opening up to literary representation hitherto unrepresented social groups, *CLASSES*, and *SPACES*. Regionalism thus helped make way for the brief flowering of that variant of realism known as *NATURALISM* during the first years of the twentieth century. While some naturalist fiction toyed with Darwinian themes (notably Jack London’s work, as in *The Call of the Wild*, 1903 and *White Fang*, 1906), naturalism is best grasped as a turning away from the more genteel realisms of William Dean Howells and Henry James (with their comfortable middle-class settings) toward working-class and ethnic

subjects—rendered all too often through broad caricature—and a more frank consideration of themes of sexuality, violence, poverty, and prejudice.

With this came a strong emphasis on the determining influence of both the physical and social (chiefly economic) environments on individual behavior and destiny. Norris's work is central here, with its cast of vivid Californians enmeshed by greed and the railroad companies, as is that of the brilliantly unclassifiable Stephen Crane, whose *Maggie: A Girl of the Streets* (1893) is one of the earliest tenement or slum tales. Also important are Abraham Cahan, a Russian-born chronicler of the Jews of New York's Lower East Side and a pioneering figure in the coming wave of immigrant fiction—*Yekl* (1896), *The Rise of David Levinsky* (1917)—and the prolific journalist, social critic, and activist Upton Sinclair, whose novel *The Jungle* dramatized the deplorable conditions in the U.S. meatpacking industry. But it is Theodore Dreiser's *Sister Carrie* (1900) that stands as perhaps the central achievement of naturalism, offering a brilliant anatomy of money, desire, and commodity spectacle which, while rooted in a certain regional experience (in particular Dreiser's flight from the restrictions of small-town Indiana and his German Catholic family), in effect short-circuits the dialectic invoked above and develops an immanent presentation of the social forces of modern capitalism. The work of Edith Wharton, meanwhile, despite its generally more privileged settings, might plausibly be grouped with naturalism for its clear-eyed focus on the inexorable and destructive force of GENDER and class conventions on individuals—*The House of Mirth* (1905), *The Age of Innocence* (1920).

The season of naturalism was in some respects short-lived: *Sister Carrie* sold poorly and Dreiser did not really regain his writerly footing until the seldom-read Cow-

perwood Trilogy of 1912–15; London became increasingly alcoholic and erratic; and both Crane and Norris died young, leaving the first two decades of the twentieth-century novel in the U.S. with a somewhat patchy record of achievement. One stand-out emerging in the teens is Willa Cather, a Virginia-born transplant to the Great Plains who brilliantly reenergized the regionalist dialectic with deceptively complex meditations on the passing of tradition, the growth of new wealth, new roles for women, and the fate of immigrant culture in the Plains and Southwest—*O Pioneers!* (1913), *My Antonia* (1918), *The Professor's House* (1925), *Death Comes for the Archbishop* (1927). Cather's work presages in part the fiction of the so-called “revolt from the village” movement, a set of mostly Midwestern writers who, far from casting the small town as a bulwark against modernity, see it as all too eager to embrace everything that is corrupting and spiritually deadening about bourgeois society. The novels of Sinclair Lewis—*Main Street* (1920) and *Babbitt* (1922)—and Sherwood Anderson—*Winesburg, Ohio* (1919) and *Poor White* (1920)—while popular and critically acclaimed in their day (indeed, Lewis was the first American recipient of the Nobel Prize in Literature), have in recent years fallen into disfavor as readers have found their critique to be rather one-note.

THE 1920s

Lewis and Anderson were certainly not wrong, however, in training their attention on a rapidly modernizing capitalist system. With innovations such as Henry Ford's “five-dollar day” (the substantial, if conditional, wage increase given his workers starting in 1914), the layaway system and other forms of credit, and the rapid growth of advertising, modern mass consumerism was gradually though unevenly extended to

certain sectors of the working- and lower-middle classes. The economy in the 1920s famously boomed (a misleading image, to the extent that inequalities of wealth were also increasingly exacerbated), and President Calvin Coolidge could declare, in a phrase that grates on the sensibilities of cultural workers to this day, that “the business of America is business.”

The writers of the 1920s thus found themselves in a difficult situation: while passionately committed to the aesthetically and culturally New (spurred on, of course, by the twin thunderclaps of 1922, James Joyce’s *Ulysses* and T. S. Eliot’s *The Waste Land*, and by modernism more generally), the “new” as it manifested itself in other social domains often occasioned a good deal more uncertainty. Hence the choice of expatriation for so many of the central writers of the decade, or the renewed and intensified focus on specific locales for others, as ways of keeping alive a kind of imaginative tension or distance, or perhaps a paradoxically nourishing sense of marginality, in the face of both the increasingly exuberant materialism of American culture together with its still dominant Puritanical ways, as witnessed for example by the (in hindsight, remarkable) prohibition on the sale of alcohol between 1919 and 1933.

The impact of modernism on the novel in the U.S. was in most instances subtle rather than overt, inflecting the main realistic current rather than reshaping its course outright. The *TIME* shifts, lyrical density, and cinematic flourishes employed in F. Scott Fitzgerald’s masterpiece of upward mobility and American mythmaking (chiefly the abiding American myth of transcending one’s origins), *The Great Gatsby* (1925), are a good example of the distinctive yet accessible modernist elements writers began to use. Fitzgerald, for many the representative novelist of the decade, was a Midwesterner who went to Princeton and then Paris, and

whose sharp (if exaggerated) sense of class and regional marginality fuels much of his best work. Ernest Hemingway, meanwhile, under the influence partly of the journalism trade and partly of modernist doyenne Gertrude Stein, developed a lean, stripped-down (and much imitated) style designed to say little and imply much. The success of books like *In Our Time* (1925), *The Sun Also Rises* (1926), and *A Farewell to Arms* (1929), along with his assiduous cultivation of the Hemingway “brand,” centered on the masculine pursuit of strenuous pastimes, made him for a long time the most famous American author in the world. Even Cather, a writer not generally known for formal innovation, began to speak, as the 1920s wore on, of the novel *demeublé* (“unfurnished”), a vision of clean, spare prose shorn of what were seen as the weighty encumbrances of older realisms.

The most exuberant modernisms appeared, first, with John Dos Passos’s *Manhattan Transfer* (1925), whose fragmentary, jump-cutting style attempts to capture the rhythm of a city and which was directly inspired both by Joyce and the cinema (indeed, film and its techniques are an abiding source of fascination and inspiration for many writers during these decades; see ADAPTATION). Dos Passos amplified this approach in his epic U.S.A. trilogy—*The 42nd Parallel* (1930), *1919* (1932), and *The Big Money* (1936)—an admixture of glassy, depersonalized prose, news clippings, biographical pastiche, and subjective lyricism. Here Dos Passos attempts to “synthesize” the nation/region dialectic through a great totalization of all regions of the country and offers a grim panoply of political dreams crushed and ambitions of all sorts squelched by the routinized grind of profit making. Djuna Barnes, another expatriate, brought together female *SEXUALITY* and cultural decay in the dense and harrowing *Nightwood* (1936). But it is undoubtedly

William Faulkner who went furthest and most lastingly with the modernist enterprise in fiction. Faulkner chose to stay in the rural northern Mississippi of his childhood and make of its history and geography, and that of the South more generally, the stuff of an intricate and architectonic fictional world, over which hangs the GOTHIC curse of the South's history of defeat and the baleful aftereffects of slavery, inflected in turn by the belated modernization of the region. The elaborate stream of consciousness of *The Sound and the Fury* (1929) and the serpentine, multiclausal sentences of *Absalom, Absalom!* (1936) are only two instances of the many techniques he employed in the construction of his fictional mythos—see also *As I Lay Dying* (1930), *Light in August* (1932), and *Go Down, Moses* (1942).

Another key literary movement beginning in the 1920s, one centrally rooted in spatial and demographic processes, is of course the Harlem (or New Negro) Renaissance (ca. 1918–37). The Great Migration, beginning around 1910, brought tens of thousands of African Americans from the rural South to the urban, industrial North (see AFRICAN AMERICAN). Places like Harlem fostered strong social and cultural ferment as more settled, middle-class blacks lived cheek by jowl with new working-class arrivals. The Renaissance itself was a rather more loosely knit affair than its name might suggest, comprising writers with strong ties to Harlem as well as many others with more tangential affiliations. Harlem in that sense was less a stable geographic locale than a touchstone for a kind of imagined community, a space of flows serving to organize symbolically a disparate collection of cultural producers. Their striking social positionality, meanwhile—on the liminal cusp of North and South, modernity and tradition, all complicated by the fraught calculus of RACE—allowed them to ring intricate changes on the many facets of the cultural

dialectic we have been foregrounding, and to interrogate the bearing of African American culture with respect to American culture more generally. The outstanding novelists of the movement include Nella Larsen—*Quicksand* (1928), *Passing* (1929)—Claude McKay—*Home to Harlem* (1928), *Banjo* (1929)—Arna Bontemps—*Black Thunder* (1936)—and Zora Neale Hurston—*Their Eyes Were Watching God* (1937).

THE 1930S

The arrival of the Great Depression in 1930 began to change the literary landscape in the U.S. in many ways. The rapid economic deterioration (fully one-quarter of the workforce unemployed by 1932) led to a widespread leftward movement amongst writers and intellectuals and an often contentious reconsideration of the appropriate forms and purposes of literature. While this politicization was by no means consistent—with some joining the Communist movement, others remaining within a more liberal/progressive orbit, with many offshoots in between—nonetheless what Michael Denning has called a broad “cultural front” came into being in the 1930s, marked by a fellow-traveling sensibility at once critical of capitalism and engaged in advocating on behalf of the dispossessed. One early outgrowth of this was the set of novels, all by women, focusing on the textile strike in Gastonia, North Carolina, in 1929: Mary Heaton Vorse's *Strike!* (1930), Myra Page's *Gathering Storm* (1932), Grace Lumpkin's *To Make My Bread* (1932), and Fielding Burke's *Call Home the Heart* (1932).

More representative, however, of fiction in the 1930s is what Denning calls the “ghetto pastoral,” portraits of largely ethnic working-class urban neighborhoods and the daily struggles of their inhabitants. Such work differs from earlier naturalistic excursions

into this territory in that the later writers frequently shared this plebeian social background with their subjects. The ghetto, of course, was a region unto itself, caught between an ambivalently desired mainstream America on the one hand and the values of the Old Country on the other. Tonally, the ghetto pastoral was often an uncertain blend of tough, even brutal naturalism (conditioned in part by the cynical, often violent hardboiled detective fiction pioneered in the 1920s by writers like Dashiell Hammett), as in James T. Farrell's *Studs Lonigan* trilogy (1932–35), set in Irish Chicago, and lighter material, often drawing on youthful escapades and comic neighborhood tales and gossip, as in Mike Gold's *Jews Without Money* (1930) and Daniel Fuchs's *Williamsburg* trilogy (1934–37), both set in poor Jewish neighborhoods of New York. While versions of realism were the dominant stylistic strain in the ghetto pastoral, more modernist techniques feature in important works like Henry Roth's *Call It Sleep* (1934), Pietro DiDonato's *Christ in Concrete* (1938), set amongst immigrant Italian bricklayers, and Tillie Olsen's *Yonnondio* (wr. 1930s, pub. 1974).

The politicization of the decade energized the FEMINIST movement of the time as well, swelling the ranks of women writing literary fiction (as the above might already suggest). Other important works by women include *The Unpossessed* (1934) by Tess Slesinger and the *Trexler* trilogy (1933–39) by Josephine Herbst. The novel of migration, meanwhile, was a recurring form in the 1930s, as the economic crisis forced thousands onto the roads and rails in search of work: John Steinbeck's *The Grapes of Wrath* (1939) is easily the most famous—indeed, along with Margaret Mitchell's Civil War saga *Gone With the Wind* (1936), it is probably the most famous novel of the decade (these two texts themselves, of course, using a regional focus to mount a national

narrative). Nelson Algren's *Somebody in Boots* (1935) deserves mention here as well. Finally, while much of this writing is already grim enough, there are those writers who present a uniquely pessimistic portrait of American society, in that the political sensibility that animates so much of the foregoing is with them suppressed. Steeped more in European symbolism and SURREALISM than, say, the Chicago School sociology of Farrell and Algren, these novelists envision society as a *danse macabre* of people increasingly in thrall to powerful culture industries that stoke unfulfillable desires, inciting violence and madness, with only a shrinking world of private fantasy remaining with which to resist: Henry Miller—*Tropic of Capricorn* (1938)—Horace McCoy—*They Shoot Horses, Don't They?* (1935)—and, especially, Nathanael West—*Miss Lonelyhearts* (1933), *The Day of the Locust* (1939). In works like these we begin to see the emergence of black humor as a device for undermining the conventions of standard realism.

THE 1940s AND 1950s

The onset of WWII reoriented cultural priorities yet again, and the literary novel, while it did not cease production as did the automobile, nonetheless received less focused attention for a time. If the 1940s were the decade of the noir in cinema, much the same could be said for the novel, with the noir thriller being among the more vital genres of the decade, drawing the efforts of at least a few writers who had been poets and literary novelists in the 1930s. Raymond Chandler, James M. Cain, Kenneth Fearing, Edwin Rolfe, Chester Himes, and Cornell Woolrich are key figures in a genre that, thrills aside, offers an often complex set of reflections on the political aftermath of the Depression (the richly atmospheric Los Angeles locales

frequently deployed are also of note). Richard Wright's *Native Son* (1940) occupies an ambivalent and important juncture: between high- and middlebrow fiction (Wright made several choices aimed at broadening his readership, and the novel became a Book-of-the-Month Club selection), and also in terms of genre. A late version of the ghetto pastoral (the story is set in Bronzeville, an African American district in Chicago), it is also something of a noir thriller in its own right, while also presaging the rise of the suburb in postwar fiction. The war itself, meanwhile, furnished the material for at least one major novel, Norman Mailer's *The Naked and the Dead* (1948); Mailer would later publish one of the more interesting fictional meditations inspired by the disastrous war in Vietnam, *Why Are We in Vietnam?* (1967), a scabrous dissection of machismo and the emotional investments in violence that never, title aside, mentions Vietnam. Nor does Joseph Heller's *Catch-22* (1961), a WWII novel whose satire on the absurdity and moral vacuity of warfare became increasingly resonant as the 1960s wore on and American involvement in Southeast Asia grew deeper. Distinguished work that does mention Vietnam of course exists, such as *The Things They Carried* (1990), by Tim O'Brien.

The novelists in the years following the war found themselves once more at a difficult aesthetic and political juncture. On the one hand, those realisms that had been the predominant novelistic modes for some eighty years, and had been so strenuously championed during the proletarian 1930s, were now, as the country moved into the era of Cold War conservatism, seen as critically suspect, as if encoding a certain Stalinism in their very heart. On the other hand, modernism was by and large felt to be reaching its limit, its dialectic of innovation having exhausted itself (a situation allegorized in John Barth's *The Floating*

Opera, 1956). Apolitical irony was the new order of the day in criticism, and older works were refashioned to fit the new dispensation: thus Faulkner (whose best work was well behind him) and Henry James (who had been dead for over forty years) emerge as in some ways the most important novelists of the 1950s. Those novelists who wished to craft something lasting in the fifties needed guile and determination beyond the usual. One strategy was to cleave to older modes in defiance of prevailing styles, an approach most often leading to failure but one that worked for Harriette Arnow, whose *The Dollmaker* (1954) is perhaps the last of the great ghetto pastorals. Or one might revive even older forms, now seen as a breath of fresh air, to great critical acclaim, as with the PICARESQUE fabulism and nineteenth-century pontificating of Saul Bellow—*The Adventures of Augie March* (1953), *Henderson the Rain King* (1959). But achieving the new in this context demanded once more a certain distance from the constricted literary horizon and related critical fashion, a distance provided, for instance, by the experience of exile, as with the Russian-American Vladimir Nabokov, whose *Lolita* (1955) stands as one of the few masterpieces of an authentically late modernist style. Another would be Ralph Ellison's *Invisible Man* (1952), which weds an irrepressible narrative drive to a layered, allusive allegory of African American marginality. For the Beats, immersion in the bohemian (for them) world of jazz and drugs afforded a space apart from the felt conformity of the age. Jack Kerouac's *On the Road* (1957) and William S. Burroughs's *Naked Lunch* (1959), in their freeform composition and often hallucinatory intensity, revivify prose in yet new ways. The road, in both *On the Road* and *Lolita* alike, is an ambivalent trope: for Nabokov, a pathway into the seductive realm of American popular

culture, for Kerouac the sign of an always-on-the-cusp-of-vanishing freedom. In any case, it testifies yet again to the irreducibly spatial dimension of literary production in the U.S.

The regional dialectic takes another turn in these years by the emergence of the suburb as a fresh site of narrative investment. The economic boom of the postwar era, coupled with measures like the G.I. Bill (1944) for veterans and tax incentives, helped millions become homeowners for the first time, and the suburban areas of American cities underwent a phase of enormous growth. The phenomenon of so-called “white flight” from more racially mixed city centers, beginning around the early 1960s, only amplified this development. Despite the evident public enthusiasm for these new living spaces, the novelistic suburb is mostly a baleful place, a realm of thwarted dreams, cultural deprivation, and (typically male) anxiety and depression: middle-class privilege is here reimagined as a kind of impoverishment. This is the imaginary terrain treated with a certain sentimentality in John Updike’s five *Rabbit* novels (appearing every ten years from 1960 to 2001), with rather more pungency in Richard Yates’s *Revolutionary Road* (1961), through to the important work of Richard Ford—*The Sportswriter* (1986), *Independence Day* (1995)—and Rick Moody—*The Ice Storm* (1994).

AMERICAN POSTMODERNITY

At length we come to the matter of POSTMODERNISM and its place in the consideration of U.S. fiction of the last few decades. As with modernism, postmodernism comes in several versions, some more consequent than others. In perhaps its narrowest sense, we have here to do with an aesthetic of the signifier as such, devoted to the cunning free

play of language. In an earlier age, such a strategy had more political content, as in the radical maneuvers of Dada, aimed at the repressive conventions of the bourgeois institutions of Art and Literature; under postmodernism this more often issues in elaborate, mazelike METAFICTION, such as that by Barth and Robert Coover, that displays great inventiveness but can seem rather self-absorbed, arguably possessing little in the way of deeper cultural resonance. When the difficult attempt is made to ground this aesthetic in some wider cultural experience, like the traditions of black signifying as in Ishmael Reed’s *Mumbo Jumbo* (1972), Maxine Hong Kingston’s meditations on Chinese mythology and the immigrant experience—*The Woman Warrior* (1976), *Tripmaster Monkey* (1989)—or Kathy Acker’s explorations of alternative sexualities and the bodily sensorium, the results are rather more interesting and valuable (see QUEER). Works such as these typify the blending of genres often observed in post-1960s fiction, as nonfictional materials, poetic passages, elements of fantasy, other subgeneric modes, and so forth come together in an increasingly heterogeneous mixture.

The most consequent deployment of a postmodern strategy within the realm of the novel probably comes through the turn to history, what Linda Hutcheon has called historiographic metafiction. This is paradoxical, in that postmodernity has been characterized as a profoundly unhistorical era, but in a sense therein lies the key. The intention of this fiction is in no way to conjure some convincing representation of the past, or to make some case for its continuing claims upon us, as in older historical thinking. Rather, these narratives in effect refract and estrange the present through the past, using the intricate and unexpected juxtaposition of real and imaginary people and events to prize apart the highly compartmentalized social world of late

capitalism. This, as Fredric Jameson has argued, is an essentially spatial exercise, that works by undermining the ideological cell walls between the many cultural and political subzones of our social formation, allowing a more synthetic narrative and conceptual process to take place (see IDEOLOGY). This would then be the latest (now second- or third-order) development in the socio-spatial dialectic with which we began. The central figures here are Thomas Pynchon (1973, *Gravity's Rainbow*; 1997, *Mason and Dixon*), Don DeLillo (1988, *Libra*; 1997, *Underworld*), and E. L. Doctorow (1975, *Ragtime*; 1989, *Billy Bathgate*). These writers also frequently evince themes of conspiracy and paranoia, another response to the increasingly systematic and all-pervasive character of the times (Pynchon's *The Crying of Lot 49*, 1966; DeLillo's *White Noise*, 1986). Toni Morrison's work (1987, *Beloved*; 1992, *Jazz*) figures in this context as well, though account must be made of the greater existential density of the historical within the African American context. In addition, the fiction of Richard Powers, such as *Gain* (1998) and *Plowing the Dark* (2000), juxtaposes scientific speculation, historical pastiche, and contemporary political events to probe the genesis and structure of the new global order.

CONTEMPORARY NOVELS

The general cultural fragmentation of post-modernity has clearly left its mark on the contemporary novel, making any attempt to survey the territory problematic. In some respects the realm of literary fiction has suffered as creative energies have moved into subgeneric territory: SCIENCE FICTION, for example, has developed remarkably in the last few decades, encompassing now the full range of so-called "soft" sciences and rich in political and anthropological speculation

(see ANTHROPOLOGY); DETECTIVE fiction, too, continues to map social space in ever more inventive ways. Still, staying within our working framework reveals several important recent developments. Thus alongside (often bombastic) calls for a new realism—directed against the perceived narrowness of "creative writing program" fiction—there persists strong work in a (sometimes deceptively) traditional realism, particularly that of Russell Banks, who has explored the conjuncture of America's racial stain and the injuries of class society with unflagging determination, frequently focusing on small-town New England and New York's Adirondack Mountains (1985, *Continental Drift*; 1995, *Rule of the Bone*; 1998, *Cloudsplitter*). Meanwhile, there is also a well-established new regionalism, as novelists once more turn to the byways and forgotten corners of the nation. Sometimes, this local is badly in need of a now global modernity, while at other times the local provides the resources to resist the force field of globalized economic and cultural flows, with the narratives seeking to explore an always troubled balance between value and rootedness on the one hand and drudgery and deprivation on the other. Work by Richard Russo, Carolyn Chute, Annie Proulx, Pat Conroy, Barry Hannah, Dorothy Allison, and Chris Offutt, among others, demonstrates once more the absolute centrality to the narrative imagination in the U.S. of the problems of cultural integrity versus cosmopolitanism, of the simultaneous fostering and curtailment of desire and freedom, all thought through a profoundly spatial frame.

Little by little, it seems, the themes that arose so often during the first half of the nineteenth century, as the nation was coalescing and its concept had yet to stabilize, inexorably return, as the uncertain solvents of the unfolding global dispensation increasingly exert their power, complicating and expanding the spatial dialectic. For

example, the examination of both the idea and the reality of the border has drawn much interest from novelists as late capitalism slowly redefines the very notion of the nation state. Novelists such as Cormac McCarthy (1985, *Blood Meridian*; 1994, *The Crossing*) and Leslie Marmon Silko (1991, *Almanac of the Dead*) explore the creation and violation of borders and the violence that spreads forth from this, highlighting imperialism and Manifest Destiny, and underscore the unsettling shifts of identity endemic to the borderlands. Perhaps more crucially, the recent wave of writing by people of color is replete with signs and portents of future metamorphoses of American fiction. Taking initial impetus from the political energies of the 1960s, particularly as these shifted somewhat later into the set of debates and movements identified by the notion of identity politics, this literature frequently sets in motion a set of complex exchanges between an increasingly decentred American national space and ever-widening real and conceptual territories in the global South and Pacific Rim (not to mention the disruptive and unmappable terrain of the native reservation system). While varying widely in style, setting, and tone, work by Julia Alvarez, Sandra Cisneros, Sherman Alexie, Amy Tan, Jessica Hagedorn, Junot Diaz, Anita Desai, Ha Jin, Louise Erdrich, and Rolando Hinojosa, among many others, not only reinterrogates

amid fresh circumstances the literary dialectic of ethnic and immigrant experience established earlier in the century, but also stays true to the fundamental impulse of realism to bring unexplored social spaces and subjects into the realm of narrative representation. The many ways in which American fiction goes global will continue to surprise.

SEE ALSO: Asian American Novel, Jewish American Novel, Latina/o American Novel.

BIBLIOGRAPHY

- Bercovitch, S., ed. (1999), *Cambridge History of American Literature*, vol. 7.
 Bercovitch, S., ed. (2002), *Cambridge History of American Literature*, vol. 6.
 Denning, M. (1997), *Cultural Front*.
 Hutcheon, L. (1989), *Poetics of Postmodernism*.
 Jameson, F. (1991), *Postmodernism, or The Cultural Logic of Late Capitalism*.
 Jurca, C. (2000), *White Diaspora*.
 Kazin, A. (1942), *On Native Grounds*.
 Lutz, T. (2003), *Cosmopolitan Vistas*.
 McCann, S. (2000), *Gumshoe America*.
 Michaels, W.B. (1993), *Our America*.
 Seguin, R. (2001), *Around Quitting Time*.

Unreliable Narrator See Narrator
Utopian Novel See Science Fiction Fantasy

W

Watt, Ian *see* Definitions of the Novel; History of the Novel; Novel Theory (20th Century)

Western Africa

KWAKU LARBI KORANG

The first known novel from Western Africa was serialized in a Gold Coast (colonial Ghana) newspaper between 1885 and 1889. In the next half-century, writers—mostly from the Gold Coast and Senegal—published a handful of titles. It was in and since the 1950s that the novel in Western Africa acquired the breadth, depth, and intensity of authorial productivity, readerly reception, and publishing sponsorship that have made novel writing in the region a sustainable intellectual enterprise.

Western Africa has been a zone of long-lived cultural contact and exchange between groups arriving from Europe and the peoples of the region. Between 1884 and 1960, this region was divided up into the colonial territories of Britain, France, and Portugal. These historic relations of culture, commerce, and power have generated necessities wherein the Europeans have either imposed on, or gifted to, the Western African peoples cultural institutions and technologies of Western literacy. Education, the alphabet, the European language, and the printing press: these are cultural and institutional transfers that, having taken root in Western Africa, would guarantee the emergence, and elevation into social prominence, of a

literary culture in the region. Pioneer institutions of higher education in the region—preeminent among them the *École William Ponty* (Senegal), Fourah Bay College (Sierra Leone), the Achimota School (Ghana), and the University of Ibadan (Nigeria)—as well as countless lower-echelon schools, have contributed seminally to Western Africa's modern literary acculturation. The products of these schools, as authors and readers, are responsible for the novel's domestication and popularization in the region.

One cannot overlook either the role of international and local PUBLISHING houses in facilitating the rise of the novel in Western Africa. Heinemann and Longman stand out among the former, having vigorously promoted the literary writings of West Africans through their African Writers' Series and Longman African Writers, respectively. *Présence Africaine* and *Editorial Caminho*, catering to a French-speaking and Portuguese-speaking readership, respectively, are other international publishing houses of note. Of the many local, nationally based publishers sustaining the novel's growth in the region, we can name an important extant few: First Dimension, Malthouse, and Spectrum (Nigeria); Sub-Saharan and Afram (Ghana); *Nouvelles Éditions Africaines du Sénégal* and *Per Ankh* (Senegal); *Nouvelles Éditions Ivoiriennes* (Cote d'Ivoire); and *Le Figuier* (Mali).

The novel is, of course, a form of fictional NARRATIVE whose immediate sources and

foremost elaboration is, by and large, European. It traveled to Western Africa as part of the institutional package of literacy transferred to the region's inhabitants as they came into cultural contact with, or fell under the colonial hegemony of, Europeans. In its formal European elaboration, as Bakhtin has noted, what emerges as a distinctive and defining feature of the novel is its "heteroglossia," i.e., the novel definitively stands out in accommodating a (competing) heterogeneity of socio-ideological voices and expressive registers. A "dialogic imagination," Bakhtin points out in this connection, informs the novel: agreeing to cohabit in disagreement is, as it were, the condition under which different registers and voices share the novel's formal space. As a dialogic given, therefore, the novel is predisposed not to produce some ultimate unisonance or closure.

One might plausibly argue, then, that, by virtue of its heteroglossic and dialogic predisposition, the novel, as it has fallen into the hands of West Africans in cultural transfer, has offered them a literary form that, its immediate European sources notwithstanding, is not in cultural "foreclosure." The novel comes potentially "open," then, to being added to; to its socio-cultural relevance being extended in space and time; and to being competitively remade according to post-European conceptions. As is the case in other parts of the world, therefore, one finds in the Western African novel voices and expressive registers of a non-European variety belatedly, but not unoriginally, negotiating an opening—and competing in that to be recognized—within a narrative mode whose prior formal elaboration is European.

In Western African negotiation and appropriation, the novel has provided a major representational and expressive outlet for authors to be responsive to, and be responsible for, existences, experiences, and problems that are comparatively similar in

being shared across their region. What novelists take on and respond to have commonly arisen for West Africans (a) within and after their encounters with, and then colonial domination by, Europeans; and (b) within and after their transition to postcolonial self-rule. Encounter has thrown up for West Africans a problematic of culture-contact. West Africans commonly contend with a heritage of overlapping "polarities": a "modern" heritage received via European acculturation and a "traditional" one of native provenance. In the circumstances, West African novelists have been recurrently compelled to imagine whether, and if so how, an alien modern may be "nativized" (Appiah, 1992); or nativity, for that matter, modernized. For other novelists, coming from a purist nativist perspective, it has been a matter of articulating the undesirability, if not the danger, of bringing into nativist reconciliation what for them must weigh, in Western Africa's shared contact experience, as an alienating and contaminating modern.

Colonialism furnishes a second regional problematic. Facing situations where their communities and peoples have been unethically deprived of a self-determining freedom, of human equality and dignity, West African novelists have felt compelled to express an allegiance to anticolonial resistance, to decolonization, and to ideals of nationhood. It has been a region-wide imperative to produce narratives that foreground acts of liberating the region's peoples from foreign control. Both during the era of decolonization and afterwards, West African novelists have tended to be literary nationalists (see NATIONAL literature) engaged ideologically—as negritudists, nativists, pan-Africanists, "cosmopolitan patriots" (Appiah, 1998)—in a search for the authentic bases and orientations to the world of national community in their region.

Finally, we can talk about Western African problematics that arise with the arrival of national independence and self-rule, and with concomitant projects of communal reformation and social transformation within the region after 1960. West Africans have confronted postcolonial tasks of fashioning equitable societies, viable communities, and ethical personal identities. In the face of obvious region-wide failures by national power elites to exercise state power responsibly, an enduring theme in Western Africa, recurrently submitted to novelistic exploration, has been degenerate power and its material and moral consequences for regional societies and subjects.

Beyond the power and people problematic, the internal relationships of Western African national societies—as societies of patriarchally structured inequality, of class exploitation, of rivalries between social factions, of different generational worldviews and orientations—have thrown up a number of postcolonial questions and ideological responses that have thematically fed the regional novel. Critiques of the social, and viewpoints on ethically reforming and materially transforming its internal relations, have emerged from various Western African perspectives: liberal-humanist, socialist, MARXIST, FEMINIST, ethical-universalist, etc.

Over regional time and space, significant novelistic variety has emerged to allow literary critics to identify different Western African “traditions” or “tendencies.” Thus the novel is identified as either Anglophone, Francophone, or Lusophone in an acknowledgment of its production within distinct communities of transnationally shared language and culture in Western Africa. There are also a small number of novels in some of the region’s vernacular languages, and regional writing is also identified by nation, GENDER, and generation. Furthermore, a typological distinction is made between the elite novel and the popular novel.

This brief entry cannot hope to effect anything but a partial representation of the regional trends. In what follows the focus will largely be on select examples of the elite and European-language novel, which has traditionally been where critics have derived a Western African canon.

THE COLONIAL ERA

The earliest known Western African novels are *Marita* (1885–89), by the Gold Coaster “A. Native,” and *Guanya Pau: The Story of an African Princess* (1891), by the Liberian Joseph J. Walters. The two authors offer Western African prototypes of the nativist (“A. Native”) and the cosmopolitan patriot (Walters). “Native,” in *Marita*, mounts a strong cultural relativist defense of home-grown Gold Coast customary law and practices, doing so in protest against the colony’s British rulers who are bent on replacing indigenous traditions with Anglo-Christian norms. On the other hand, as he trains an abolitionist eye on tyrannical patriarchal customs that he finds injurious to ethnic Vai women’s wellbeing in Liberia, Walters is a Christian, a liberal-humanist, and a cosmopolitan advocate of modernizing reform.

The defense of cultural authenticity returns in the second Gold Coast novel, J. E. Casely Hayford’s *Ethiopia Unbound* (1911), whose protagonist is seen successfully embarking on an allegorical journey of return to the source of the native soul. Loss of this soul is the subject of Kobina Sekyi’s serial *The Anglo-Fanti* (1918), which tells the tragic story of an intellectual whose authentic native self (Fanti) has been irretrievably despoiled by his English acculturation.

If at the outset of the Anglophone novel in Western Africa we find Gold Coast novelists critical of an unreconstructed modernity for their societies, the Senegalese originators of the regional Francophone novel in the 1920s

start on a contrary note. In the French colonies, the policy was that natives, after being successfully subjected to modern forms of tutelage, discipline, and acculturation, became assimilated into a French “universality.” It is from within the ranks of the *assimilés* that the first Francophone novelists emerged, Senegalese pioneers betraying their intellectual, psychic, and affective conditioning as “French.” Accordingly, Ahmadou Mapate Diagne in *Les Trois volontés de Malic* (1920, The three wishes of Malic) eulogizes French colonial modernity for its beneficial civilizing effects. Similar attitudes are to be found in Bakary Diallo’s *Force-Bonté* (1926, Much goodwill).

French assimilationist modernity is represented in a dual aspect of promise and peril for the first time by the Senegalese Ousmane Soce in *Karim* (1935) and *Mirages de Paris* (1937, Mirages of Paris). Soce originally deployed a motif that would be repeated in Francophone autobiographical novels (see LIFE WRITING) that followed: the hero, having discovered Frenchness to be more a peril to his soul than a blessing, and unable to recover the nativity from which his modern upbringing has distanced him, is left perplexingly suspended in an ambiguous no man’s land. The classic of the genre is the Senegalese Cheikh Hamidou Kane’s *L’Aventure ambiguë* (1961, *The Ambiguous Adventure*). The Guinean (Conakry) Camara Laye’s *L’Enfant noir* (1956, *The African Child*) offers a romantic variation on the motif. Even as he confronts the potential pitfall of modern alienation, the hero’s nostalgic remembering is of sufficient power to keep his selfhood rooted in the idyllic native world of his childhood.

The inception of the Lusophone novel in Western Africa—a Cape Verdean affair—is marked by Baltasar Lopes’s *Chiquinho* (1947). Lopes was part of the *Claridade* (cultural) movement which espoused a nativist ideology, and emerged in reaction to

the universalism of an earlier literary school on the island whose writings were fed by an impulse “to flee the restricted environment of the islands, and to plug into the wider context of Western culture” (Brookshaw, 180). *Chiquinho* follows its eponymous hero growing up and endorses his arriving at a native Cape Verdean consciousness. Manuel Lopes would reaffirm *Claridade*’s nativist commitments in *Chuva Braba* (1956, *Wild Rain*) and *Os Flagelados do Vento Leste* (1960, The victims of the east wind).

DECOLONIZATION

In the 1940s, the call for decolonization was increasingly being sounded by the Western African intelligentsia: the region’s peoples must cease to be colonial subjects and come into their own as citizens of nations. Decolonization also raised the question of the complementary role of culture in political struggle and in the imagining of the future (modern) community of the nation. In what modalities of expression was culture to appear if it was to inspire the march of West Africans toward the self-owned modernity of nationality and citizenship?

Literary representation would supply some inspirational answers by revisiting the times before imperial and colonial intervention, when West Africans independently created orderly, self-sustaining communities and ran self-determining polities. Such mythmaking is evident in two Francophone historical novels: Dahomeyan (Benin) Paul Hazoumé’s *Doguiçimi* (1938), which reconstructs the kingdom of Dahomey; and Nazi Boni’s *Crépuscule de temps anciens* (1962, Twilight of ancient times), set in the past of his native Upper Volta (Burkina Faso). Nationalist vindicationism is also the purpose behind the Nigerian Chinua Achebe’s classic *Things Fall Apart* (1958). The novel’s documentation of the orderly institutions

and dignified way of life of a small precolonial Igbo community modulates into a tragic swansong as colonial intrusion destroys this civilized community's well-wrought social order.

Achebe accomplishes an indigenizing of the language of the Anglophone novel, most notably in his *Arrow of God* (1964). The Ivorian Ahmadou Kourouma's *Les soleils des indépendances* (1968, *The Suns of Independence*) is a comparable pioneer Francophone achievement. Achebe's compatriots Amos Tutuola's *The Palm-Wine Drinkard* (1953), Gabriel Okara's *The Voice* (1964), and Flora Nwapa's *Efuru* (1966) are also notable Western African attempts at making an "oral literature."

If one Western African novelistic strategy, indigenization, is to "acculturate" what is European and modern in language and form by infusing it with elements of oral tradition, another regional strategy—a defining characteristic of the vernacular novel—has been "inculturation." This has entailed infusing the region's indigenous languages with modern expressive modalities—such as the novel form affords—such that these languages will be expressively enriched, for their ethno-national community of speakers and readers, as producers of "literature." Vernacular cultural nationalism of this kind is what is at work in the Yoruba-language novels of D. O. Fagunwa, including the famous *Ògbójú Ọdẹ Nínú Igbó Irúnmalẹ* (1938, *The Forest of a Thousand Demons*). The Cape Verdean Manuel Veiga is able to use a "novelized" Creole to express complex literary ideas in his *Oju d'Agú* (1974, *The Wellspring*).

Still on culture's role and place in decolonization, there were some in Western Africa for whom uncritical re-creations and nationalist endorsements of the feudal, tribal, or patriarchal glories of the region's distant pasts or surviving traditions were inadequate for the imagining of modern,

progressive national communities. There were writers in the decolonizing era and its aftermath, then, who sought alternative imaginings of the basis of national culture, an important one being Senegal's Sembene Ousmane. His *Les Bouts de bois de Dieu* (1960, *God's Bits of Wood*) stands out in its Marxist insistence that the basis of national culture was to be sought in contemporary working people's resistance culture—i.e., those traditions of political and moral solidarity which emerge out of working people's struggles against a capitalism which has taken historic form in Africa as colonialism.

WOMEN'S WRITING

Women's novelistic contribution to the culturalist discourse of a reascent Africa would not come until 1966, the year when Nwapa's *Efuru*, the first (non-serial) novel by a woman in Western Africa, was published. Typically, the female novel has moved between (anti-patriarchal) protest and (matriarchal) testimonial. As protest, the female novel portrays the tragedies inflicted on women characters by patriarchal traditions—indigenous, Islamic, Christian, and secular-modern. Cases in point are the Nigerian Buchi Emecheta's *The Joys of Motherhood* (1979) and the Senegalese Ken Bugul's *Le Baobab fou* (1991, *The Abandoned Baobab*).

On the other hand, as testimonial, the female-authored novel demonstrates and validates an altruistic female ethic—a set of "womanist" attributes often operating in the interests of communal creation, cohesion, and survival. This ethic stands out in the Ghanaian Ama Ata Aidoo's *Our Sister Killjoy* (1977) and in the Senegalese Mariama Ba's *Une si longue lettre* (1979, *So Long a Letter*). In the portrayals of historic and contemporary heroines by Nwapa,

Aidoo, Ba, Emecheta, and others who follow them, we see a womanist projection of the audacious, headstrong woman—at once fiercely defensive of her rights and fiercely committed to building sustainable community—as the iconic “new woman” of national culture. Heroines and women characters in the Nigerian Zaynab Alkali’s *The Stillborn* (1984); the Ivorian Véronique Tadjo’s *Le Royaume aveugle* (1991, *The Blind Kingdom*) and *Reine Pokou* (2005, *Queen Pokou*); and the Nigerian Chimamanda Adichie’s *Half of a Yellow Sun* (2006) continue this womanist projection.

THE POST-INDEPENDENCE ERA

As an article of faith, West Africans leading the charge for decolonization had projected the imaginary, affective, purposive, and moral integrity of a collective self of decolonization—“the people.” It had become apparent shortly after independence, however, that the national-popular idealism of decolonization had been betrayed by the emergent power elites. What had succeeded colonialism was degenerate power, now wielded by the governing classes in the emergent nation-states. Western Africa had entered the troubled postcolonial times that will generate the literary reflex called “the literature of disillusionment.”

The titles of a number of Anglophone Western African novels written by the first generation of post-independence writers convey how dispiriting the new times had become: *The Beautiful Ones Are Not Yet Born* (1968) and *Fragments* (1970), both by the Ghanaian Ayi Kwei Armah; *This Earth, My Brother* (1971), by the Ghanaian Kofi Awoonor; *Season of Anomy* (1973), by the Nigerian Wole Soyinka. Francophone contributions include Kourouma’s *Les Soleils des indépendances*; Malian Yambo Ouologuem’s *Le Devoir de violence* (1968, *Bound to*

Violence); and Senegalese Boubacar Boris Diop’s *Le Temps de Tamango* (1981, *The time of the Tamango*). Germano Almeida’s *O meu Poeta* (1991, *My poet*) also portrays Cape Verde from a disenchanted perspective. These novels of disenchantment are notable for their outrage at hopes betrayed; their inclination toward tragic, absurdist, or baroque expression; their scatological imagery; and their pessimistic tone.

After pessimistically diagnosing the post-colonial condition, however, West African writers would also make monumental efforts to revive and re-enchant the mythology of nation and belonging. What we might group together as “novels of revival” include Armah’s *Two Thousand Seasons* (1973) and Abdulai Sila’s *Eterna Paixão* (1994, *Eternal passion*), Guinea Bissau’s pioneer contribution to the Lusophone novel. Other novelists would re-enchant the mythology of nation and community by reaching for a visionary magic realism: Ghana’s Kojo Laing in *Search, Sweet Country* (1986); Sierra Leone’s Syl Cheney Coker in *The Last Harmattan of Alusine Dunbar* (1990); Nigeria’s Ben Okri in *The Famished Road* (1991).

THE “THIRD GENERATION”

More recently, a third (post-independence) generation of West African novelists, spearheaded by Nigerian writers, is said to have arrived. For the most part, the novelists of this third generation, like those of the first two, have retained the nation as their focus as they conduct communal and social stock-taking in the variety of ways outlined above. Nevertheless these recent novels, often produced by expatriates and migrants, look beyond the nation, bringing to bear “cosmopolitan” norms and sensibilities and “transnational” forms of ethical critique. These “postnationalist” novels thus tend to uphold ways of self-fashioning, ways of knowing and judging that the nationalist

discourse of an earlier period has more or less dismissed as “un-African”—hence incompatible with authentic national culture and national belonging. Thus, in Chris Abani’s *Graceland* (2005), Sefi Atta’s *Everything Good will Come* (2005), Unoma Azuah’s *Sky High Flames* (2005), and Jude Dibia’s *Walking with Shadows* (2006), we have some of the latest varieties of regional voice and expression exemplarily showing how, and the extent to which, novelistic heteroglossia and dialogism continue to be turned to Western African account.

BIBLIOGRAPHY

- Adesanmi, P. and C. Dunton, eds. (2008), “Nigeria’s Third Generation Novel,” *Research in African Literatures* 39(2):vii–xii.
- Anderson, B. (1991), *Imagined Communities*.
- Appiah, K.A. (1992), *In My Father’s House*.
- Appiah, K.A. (1998), “Cosmopolitan Patriots,” in *Cosmopolitanism*, ed. P. Cheah and B. Robbins.
- Bakhtin., M.M. (1981), *Dialogic Imagination*.
- Brookshaw, D. (1996), “Cape Verde,” in P. Chabal, et al., *Postcolonial Literature of Lusophone Africa*.
- Gerrard, A., ed. (1986), *European-Language Writing in Sub-Saharan Africa*, 2 vols.
- Michelman, F. (1976), “The West African Novel Since 1911,” *Yale French Studies* 53:29–44.
- Newell, S. (2006), *West African Literatures*.
- Padilha, L.C. (2007), “Tradition and the Effects of the New in Modern African Fictional Cartography,” *Research in African Literatures* 38(1):106–118.
- Porter, A.M. (2000), “New ‘New’ Jerusalem?” *Jouvert* 4(2), <http://english.chass.ncsu.edu/jouvert/v4i2/porter.htm>
- Wehrs, D.R. (2001), *African Feminist Fiction and Indigenous Values*.
- Wilson-Tagoe, N. (2003), “Representing Culture and Identity,” *Feminist Africa* 2 <http://wwwWestfeministafrica.org/index.php/representing-culture-and-identity>
- Working-Class Novel** *see* Class; Marxist Theory; Russia (20th Century)
- World Literature** *see* Comparativism
- Worldview Making** *see* Cognitive Theory

Y

Yiddish Novel

KEN FRIEDEN

A latecomer to the genre, the Yiddish novel was heavily influenced by Russian and English models. Satiric REALISM and PARODY characterize nineteenth-century Yiddish fiction, while twentieth-century authors explored a wide range of styles. With a few notable exceptions, Yiddish novels were directed to a popular audience.

Sholem Yankev Abramovitsh, who is sometimes known as Mendele Moykher Sforim (the central character in his fiction), greatly influenced the Yiddish novel. Five works form the core of his literary achievement: *Dos kleyne mentshele* (1864, *The Little Man*), *Dos vintshfingerl* (1865, *The Wishing-Ring*), *Fishke der Krumer* (1869, *Fishke the Lame*; 1888, expanded ed.), *Di klyatshe* (1873, *The Nag*), and *Kitser masoes Binyumin hashlishi* (1878, *The Brief Travels of Benjamin the Third*). In later years he revised and expanded these novels. Closely associated with the Jewish intelligentsia of Odessa after 1881, Abramovitsh developed a compelling satiric realism. Some characters appear typical, while others are comically distorted. His HEBREW adaptations of Yiddish works played a major role in the creation of modern Hebrew fiction (see ADAPTATION/APPROPRIATION).

Sholem Aleichem (the pen-name used by Sholem Rabinovitsh) was also a founder of modern Yiddish fiction. His best-known work is *Tevye der milkhiker* (1894–1914, *Tevye the Dairyman*), which could be considered a novel but is a collection of stories narrated by Tevye. Sholem Aleichem experimented with the novelistic form in the late 1880s, producing *Stempeniu* (1888, *Stempeniu: A Jewish Romance*) and *Yosele Solovey* (1889, *The Nightingale; or, The Saga of Yosele Solovey the Cantor*). He also employed a first-person, oral-style narrator, as in *Motl Peyse dem khazns* (1907–16, *Adventures of Motl, the Cantor's Son*). Other works include the EPISTOLARY novel *Menakhem Mendel* (1892–1909, *Letters of Menakhem-Mendl, Sheyne-Sheyndl and Mot, the Cantor's Son*) and third-person narratives such as *Blondzhende shtern* (1912, *Wandering Stars*).

In the early twentieth century, the Warsaw center of Yiddish literature formed around I. L. Peretz, who excelled as an author of short fiction but never published a novel. Nevertheless, he inspired a generation of novelists, including David Pinski, Sholem Asch, Isaac Meir Weissenberg, I. J. Singer, and the poet and fiction writer Kadya Molodowsky.

David Bergelson became the master of the modernist novel in Yiddish (see MODERNISM). His work extends the form beyond the realm

of his predecessors by employing innovative narrative techniques to create more ambiguous fictional worlds. His novel *Opgang* (1920, *Descent* or *Departing*) portrays the collapse of traditional values and the decline of the small town *shtetl*.

Following the Holocaust (ca. 1933–45), Yiddish fiction continued to be written in the Soviet Union, Israel, and the U.S. I. J. Singer's brother, I. B. Singer, became the only Yiddish writer to receive the Nobel Prize for literature, in 1978. Their sister Esther Kreitman also published Yiddish novels, including *Der sheydim tants* (1936, *The Dance of Demons*).

Several successful authors wrote first in Yiddish before publishing in another language. One example is Mary Antin's first draft of *From Plotzsk to Boston* (1899). Elie Wiesel first published his autobiographical novel *La nuit* (1958, *Night*) in Yiddish under

the title *Un di velt hot geshvign* (1956, *And the World Remained Silent*).

Active Yiddish novelists in the later twentieth century include Chaim Grade, Chava Rosenfarb, and Boris Sandler. Because of the decline in the Yiddish-speaking population, through genocide and assimilation, few Yiddish novels are likely to be written in the twenty-first century.

SEE ALSO: National Literature, Religion.

BIBLIOGRAPHY

- Frieden, K. (1995), *Classic Yiddish Fiction*.
 Harshav, B. (1990), *Meaning of Yiddish*.
 Miron, D. (1996), *Traveler Disguised*.
 Roskies, D. (1995), *Bridge of Longing*.
 Seidman, N. (1997), *Marriage Made in Heaven*.
 Wisse, R. (1991), *I. L. Peretz and the Making of Modern Jewish Culture*.

Indexes

Index of Novelists

This index of novelists includes all novelists mentioned in the *Encyclopedia* as well as writers of other narrative forms that, while not themselves thought of as novels, played a significant role in the development of the novel. It is designed to be as generous as possible in determining which names to include. When questions arose, the editors generally chose to include writers rather than exclude them.

- al-‘Alim, Raja’ (b. 1963) 63, 64
al-A’raj, Wasini (b. 1954) 63
al-‘Arawi,’ Abdallah (b. 1933) 63
Aba-enlil-dari 36
Abani, Chris (b. 1966): *Graceland* 857
Abd al-Qader, Ahmed Ben (b. 1941) 577
Abdel Malek, Smari (b. 1958) 580
Abdelqader, Ahmed Ould
 Al-asma’ al-mutaghayyira 577
 Al-qabr al-majhoul 577
Abdelwahab, Hasan Hosni (1884–1968): *Amiratu Gharnata* 574
Abdolah, Kader (b. 1954) 498
Abdul Kadir Adabi (1901–44): *Acuman Mahkota* 754
Abdul Samad Said (b.1935): *Salina* 752
Abdul Talib bin Mohd. Hassan (b. 1947):
 Saga 753
Abdul-Baki, Kathryn (b. 1952) 63
Abe Kōbō (1924–93): *Kemonotachi wa kokyō mezasu* 441
Abeysekera, Tissa (1939–2009) 749
Aboulela, Leila (b. 1964) 63, 64
 The Translator 821
Abrahams, Peter (b. 1919): *Mine Boy* 770
Abramov, Fedor (1920–83)
 Brat’ia i sestry 722
 Priaslīny trilogy 722
Abramovitz, Sholem Yankev (1835–1917) 379–80
 Fishke der Krumer 859
 Kitser masoes Binyumin hashlishi 859
 Dos kleyne mentshele 859
 Di klyatshe 859
 Dos vintshfingerl 859
Abu Shawir, Rashad (b. 1942) 64
Abu-Jaber, Diana (b 1960) 63
Accad, Evelyne (b. 1943) 63
Achebe, Chinua (b. 1930) 125, 230, 821
 Arrow of God 855
 Things Fall Apart 56, 131, 255, 854–5
Achilles Tatius (fl. 2nd cent. CE) 35, 44
 Leucippe and Clitophon 284
Acker, Kathy (1948–97) 810, 847
 Blood and Guts in High School 743
Ackroyd, Peter (b. 1949) 4–5
 Chatterton 514
 Dickens 4
 The Great Fire of London 5
Acosta, Oscar Zeta (1935–74): *The Revolt of the Cockroach People* 468
Adamson, Joy (1910–80) 269
Adán, Martín (1908–85) 50
Adichie, Chimamanda (b. 1977): *Half of a Yellow Sun* 856
Adiga, Aravind (b. 1974): *The White Tiger* 620
Adıvar, Halide Edib 824
Adnan, Etel (b. 1925) 63
 Sitt Marie Rose 64
Adoum, Jorge Enrique (b. 1926) 51
Afghani, A. M. (b. 1925) 429
Ağaoğlu, Adalet: *Ölmeye Yatmak* 825
Agee, James (1909–55) 614
 Let us Now Praise Famous Men 458, 614
Agnon, S. Y. (1888–1970) 381

- Agualusa, José Eduardo (b. 1960) 292
Estação das Chuvas 779
Nação crioula 292, 779
O Vendedor de Passados 779
- Aguilar, Faustino (1882–1955): *Busabos ng Palad* 756
- Agustín, José (b. 1944): *La tumba* 518
- Ahmad Rashid Talu (1889–1939) 752
Iakah Salmah? 751
- Ahmet Mithat Efendi (1844–1912) 823
Dürdane Hanım 822
Felatun Bey ve Rakım Efendi 823
- Aichinger, Ilse (b. 1921) 366
- Aidoo, Ama Ata (b. 1942): *Our Sister Killjoy* 855
- Ainsworth, W. H. (1805–82): *Jack Sheppard* 120
- Aitmatov, Chingiz (1928–2008)
Belyi parakhod 722
I dol'she vaka dlitsia den' 722
- Aksenov, Vasily (b. 1932)
Ostrov Krym 724
Ozhog 724
- Akunin, Boris (b. 1956)
Azazel' 725
Shpionskii roman 725
- Akutagawa Ryūnosuke (1892–1927) 446
Kusamakura 444
- Alai (b. 1959)
Chen'ai luoding 184
King Gesar 184
Kongshan 184
- Alameddine, Rabih (b. 1959) 63
Koolaidis 64
- Alarcón, Daniel (b. 1977): *Lost City Radio* 48
- Alas, Leopoldo: *see* Clarín
- Albahari, David (b. 1948): *Mamac* 767
- Albert, Caterina: *see* Català, Victor
- Alciphron (fl. 3rd cent. CE) 288
- Alcoforado, Mariana (1640–1723): *Lettres portugaises* 106, 195, 290
- Alcott, Louisa May (1832–88) 261
Little Women 659
- Aldiss, Brian (b. 1925) 729
- Alegría, Ciro (1909–67): *El mundo es ancho y ajeno* 49–50
- Alegría, Claribel (b. 1924): *Cenizas de Izalco* 163
- Alegría, Fernando (1918–2005): *Los días contados* 785
- Aleichem, Sholem (1859–1916)
Blondzhende shtern 859
Menakhem Mendel 859
Motl Peyse dem khazns 859
Stempeniu 859
Tevye der milkhiker 859
Yosele Solovey 859
- Alemán, Mateo (1547–1615): *Guzmán de Alfarache* 105, 389, 402, 617, 619
- Alemán Salvador, Maria Gabriela (b. 1968) 51
- d'Alembert, Jean le Rond 76
- Alencar, José de (1829–77)
Iracema 101
O Guarani 98
Senhora: perfil de mulher 101
- Aleramo, Sibilla (1876–1960): *Una donna* 436
- Alexandrou, Aris (1922–78): *To kivotio* 767
- Alexie, Sherman (b. 1966) 849
- Alger, Horatio (1832–99) 833
Ragged Dick 651
- Algren, Nelson (1909–81) 666
Somebody in Boots 845
- Ali, Ahmed (1908–98): *Twilight in Delhi* 749
- Ali, Monica (b. 1967): *Brick Lane* 133, 750
- Ali, Tariq (1943): *Shadows of the Pomegranate Tree* 750
- Alisjahbana, Sutan Takdir (1908–94) 754
- Alkali, Zaynab (b. 1952): *The Stillborn* 856
- Allen, Grant (1848–99): *The Woman Who Did* 741
- Allende, Isabel (b. 1942) 503, 611
Casa de los espíritus 255, 790–1
De amor y de sombra 791
- Allison, Dorothy (b. 1949) 848
- Almeida, Germano (b. 1945): *O meu Poeta* 856
- Almeida, Manuel Antonio de (1831–61): *Memórias de um Sargento de Milícias* 101
- Almino, João (b. 1950): *Samba-Enredo* 99
- Almqvist, Carl Jonas Love (1793–1866): *Det gār an* 581
- Altamirano, Ignacio (1834–93): *El zarco* 516
- Alvarez, Julia (b. 1949) 849
How the García Girls Lost Their Accent 150, 471
In the Name of Salome 471
In the Time of the Butterflies 471
- Amado, Jorge (1912–2001) 104, 503
Terras do Sem-Fim 98
The Violent Land 98
- Amat-Piniella, Joaquim (1913–74): *K.L. Reich* 410
- Ambler, Eric: *Epitaph for a Spy* 125
- Amis, Kingsley (1922–95) 130
That Uncertain Feeling 482
- Amis, Martin (b. 1949) 133
House of Meetings 383
Time's Arrow 815
- Ammar, Abdelrahman 576
- Amrouche, Taos (1913–76) 578

- Anand, Mulk Raj (1905–2004)
Two Leaves and a Bud 127
Untouchable 127, 746
- Anar, İhsan Oktay (b. 1960) 826
- Anaya, Rudolfo A. (b. 1937): *Bless Me, Ultima*
 468, 820
- Andersen, Hans Christian (1805–75) 581–2
- Anderson, Sherwood (1876–1941)
Poor White 842
Winesburg, Ohio 570, 842
- Andrade, Mário de (1893–1945) 821
Macunaima 98, 102
- Andrić, Ivo (1892–1975) 564, 763
Na Drini ćuprija 765
Travnička hronika 765
- Angelou, Maya (b. 1928) 513
- Angers, Félicité: *see* Conan, Laure
- Angers, Françoise-Réal (1813?–60): *Les Révélations du crime* 138
- Anggraeni, Dewi (b. 1945) 753
- Antin, Mary (1881–1949)
From Plotzsk to Boston 860
The Promised Land 452
- Antoun, Farah (1874–1922) 574
- Antunes, António Lobo (b. 1942)
Memória de Elefante 409
As Naus 409
- Apaydın, Talip (b. 1926) 825
- Apollonius of Rhodes (b. 295 BCE) 287
Argonautica 281, 283, 286
- Appelfeld, Aharon (b. 1932) 381
- Apuleius, Lucius (ca. 124–ca. 170)
The Golden Ass 206, 617, 672
Metamorphoses 35, 44, 46, 206
- Aquin, Hubert (1929–77)
Prochain épisode 136, 143
Trou de mémoire 143
- Aragon, Louis (1897–1982): *Le paysan de Paris* 809
- Arenas, Reinaldo (1943–90) 646–7
- Aréstegui, Narciso (1805–69): *El Padre Horán* 48
- Arévalo Martínez, Rafael (1884–1971) 161
- Argens, Jean-Baptiste Boyer d' (1703–71)
Lettres chinoises 289
Thérèse philosophe 156, 329
- Arguedas, Alcides (1879–1946)
 “Pueblo enfermo” 50
Raza de bronce 49
- Arguedas, José María (1911–69)
Los ríos profundos 50, 303
Todas las sangres 49
El zorro de arriba 50
- Argüello, Manuel (1834–1902) 161
- Argueta, Manlio (b. 1935): *Un día en la vida* 163
- Arias, Arturo (b. 1950): *Después de las bombas*
 95–6
- Ariosto, Ludovico (1474–1533) 279
Orlando Furioso 234, 437, 655, 702
- Aristotle (384–322 BCE) 39
 and Alexander 41
 art/nature 231
 censorship 160
 character 171–2
 decorum 221
 description 233
 dialectic 70
 and Don Quixote 303
 on drama 200
 genre 354
Iskandarnāma 41
 left out of Plutarch 19
 metaphysics 40
 narrative 539
 philosophy/politics 39
 plot 621
 space 792
 on tragedy 200–1, 202
 verbs of motion 234
 works
Poetics 193, 200–1, 221, 222, 233, 282, 355, 535, 549, 621, 693, 801
On Rhetoric 234, 692–3
- Arlt, Roberto (1900–42): *El juguete rabioso* 784
- Armah, Ayi Kwei (b. 1939)
The Beautiful Ones Are Not Yet Born 856
Fragments 856
Two Thousand Seasons 856
- Armstrong, Jeannette (b. 1948): *Slash* 143
- Armstrong, Peter 269
- Arnold, Harriette (1908–86): *The Dollmaker* 846
- Arouet, François-Marie: *see* Voltaire
- Arsenijević, Vladimir (b. 1965): *Upotpalublju* 768
- Artsybashev, Mikhail (1878–1927): *Sanin* 718
- Aryashura (fl. 3rd cent.) : *Jatakamala* 33–4
- Asch, Sholem (1880–1957) 451, 859
- al-Ash'ari, Muhammad 577
- Asimov, Isaac (1920–1992) 728
- Aslam, Nadeem (b. 1966): *Maps for Lost Lovers* 750
- Asturias, Miguel Ángel (1899–1975) 503
Hombres de maíz 162
El señor presidente 162, 254
Viento fuerte trilogy 162

- Atay, Oğuz (1934–77) 826
Tutunamayanlar 825
- Atılgan, Yusuf 825
- Atkinson, Kate (b. 1951): *Human Croquet* 9
- Atta, Sefi (b. 1964): *Everything Good will Come* 857
- Attaway, William (1911–86) 16, 666
- Atwood, Margaret (b. 1939) 135, 159, 729
The Handmaid's Tale 605
Surfacing 136
- Atxaga, Bernardo (b. 1951)
Gizona bere bakardadean 412
Obabakoak 412
Soinujolearen semea 412
Zeru horiek 412
- Aubin, Penelope (1685–1731?) 325
- August, Duke of Saxony-Gotha (1772–1822) 643
- Austen, Jane (1775–1817)
 adaptations 6, 7
 character 176
 closure 195
 collective humanity avoided 395
 death and resurrection theme 194
 domestic realism 120, 261
 editions 279, 424
 free discourse 259
 and gothic contemporaries 372
 Moers on 295
 range 624
 Scott on 690
 speech marks 250
 works
Emma 8, 260, 530, 531, 532, 558, 623, 690
Mansfield Park 194, 658
Northanger Abbey 120, 370, 604, 623
Persuasion 120
Pride and Prejudice 238, 260, 552, 607, 623, 740
Sense and Sensibility 194
- Auster, Paul (b. 1947): *New York Trilogy* 245
- Avellaneda, Gertrudis Gómez de (1814–73):
Sab 146
- Aw, Tash (b. 1971) 753
- Awoonor, Kofi (b. 1935): *This Earth, My Brother* 856
- Awwad, Tawfiq Yusuf (1911–89) 62
- Axioti, Melpo (1905–73): *Thelete na horepsoume Maria* 764
- Ayguales de Izco, Wenceslao (1801–75): *María, la hija de un jornalero* 403
- Ayyub, Dhu al-Nun (1908–88) 62
- Azevedo, Aluísio (1857–1913) 569
O cortiço 98, 569
O mulato 569
- Azuah, Unoma Nguemo: *Sky High Flames* 857
- Azuela, Mariano (1873–1952): *Los de abajo* 516
- Azzouz, Hind (b. 1926) 576
- Bâ, Mariama (1929–81): *Une si longue lettre* 292, 855
- Ba Jin (1904–2005): *Jiliu* trilogy 182
- Ba'albaki, Layla (b. 1936) 62, 64
- Bachi, Salim (b. 1971) 580
- Bachmann, Ingeborg (1926–73) 366
- Baculard d'Arnaud, François-Thomas-Marie de (1718–1805) 383
- Badami, Anita Rau (b. 1961): *Tamarind Men* 143
- Badr, Lyanah (b. 1950) 62, 64
- Bai Xianyong (b. 1937): *Niezi* 186
- Bajza, Jozef Ignác (1755–1836): *René mlád'enca príhodi a skúsenosti* 166
- Baker, Nicholson (b. 1957) 240
Counterpoint 252
- Bakin Kyokutei (1767–1848) 442, 443–4
- Bakin Takizawa: *see* Bakin Kyokutei
- Bakr, Salwa (b. 1949) 63
- Baldwin, James (1924–87) 15–16
Another Country 645
 "Everybody's Protest Novel" 15
Giovanni's Room 16
Go Tell It on the Mountain 15
- Ballard, J. G. (1930–2009) 729
Crash 132
- Baltrušaitis, Jurgis (1873–1945?) 90
- Baltušis, Juozas (b. 1909): *Sakmė apie Južą* 90
- Balzac, Honoré de (1799–1850)
 on copyright 215
 death and resurrection theme 194
 Engels on 505
 as influence 88
 Jameson on 417, 663
 Lukács on 661–2
 Marx on 504
 melodrama 336
 networks of characters 543
 omniscient narration 292
 photographic style 613
 realism 393, 509, 660, 803
 on Scott 384
 works
Comédie humaine 54, 175, 335, 394, 588
La fille aux yeux d'or 643
Illusions perdues 53, 194, 336, 457, 672

- Louis Lambert* 335
La Peau de chagrin 335
Le Père Goriot 194, 207, 243, 336, 509
Sarrasine 593, 631
La Vieille Fille 155, 336
 Bambara, Toni Cade (1939–95) 14
 Bamboté, Pierre Makombo (b. 1932) 269
 Ban Biao (3–54 CE) 24
 Ban Gu (32–92 CE) 24
 Ban Zhao (ca. 49–120 CE) 24
 Bana (fl. 7th cent.) 34
 Harshacharita 33
 Kadambari 33
 Bandello, Matteo (1485–1561): *Novelle* 703
 Bang, Herman (1857–1912) 583
 Banks, Iain M. (b. 1954) 133, 729
 Consider Phlebas 133
 The Wasp Factory 133
 Banks, Russell (b. 1940)
 Cloudsplitter 848
 Continental Drift 848
 Rule of the Bone 848
 al-Banna, Salwa (b. 1948) 64
 Banunah, Khanathah (b. 1937): *Al-nar wa al-ikhtiyar* 64
 Banville, John (b. 1945)
 Birchwood 132
 The Untouchable 645
 al-Baqqal, Ahmed Abelsalem: *Ruwad al-majhoul* 576
 Baraka, Amiri (LeRoi Jones) (b. 1934): *The System of Dante's Hell* 16
 Barakat, Halim (b. 1936) 62
 'Awdat al-ta'ir ila al-bahr 64
 Barbauld, Anna (1743–1825) 388, 389–90, 392
 Barber, Noel (b. 1909): *Tanamera: A Novel of Singapore* 751
 Barbetta, María Cecilia (b. 1972) 368
 Barker, Pat (b. 1943) 133
 Blow Your House Down 742
 The Regeneration trilogy 645
 Barnes, Djuna (1892–1982) 792
 Ladies Almanack 646
 Nightwood 646, 810, 843
 Barnes, Julian (b. 1946) 133
 Flaubert's Parrot 5
 Barnett, Miguel (b. 1940): *Biografía de un cimarrón* 149
 Baroja, Pío (1872–1956)
 El árbol de la ciencia 405
 La busca 406
 Camino de perfección 405
 La lucha por la vida trilogy 405
 Memorias de un hombre de acción 405
 Barradah, Muhammad (b. 1938) 63
 Barrie, J. M. (1860–1937) 670
 Barth, John (b. 1930) 606, 847
 The Floating Opera 846
 Letters 292
 Barthelme, Frederick (b. 1943) 666
 Basara, Svetislav (b. 1953): *Fama o biciklistima* 767
 Baty, Paige (1961–97): *E-mail Trouble* 292
 Baudelaire, Charles (1821–67) 219, 339
 Les Fleurs du Mal 176
 Baum, Vicki (1888–1960)
 Meschen im Hotel 366
 stud.chem. Helene Willfüer 366, 735
 Baykurt, Fakir (b. 1929) 825
 Beah, Ishmael (b. 1980) 485
 A Long Way Gone 484
 Beattie, Ann (b. 1947): "Snow" 537
 Beaulieu, Victor-Lévy (b. 1945) 143
 Beaumont, Matthew (b. 1972): *e: A Novel* 293
 Beauvoir, Simone de (1908–86) 345
 Bechdel, Alison (b. 1960) 376
 Dykes to Watch out For 743
 Fun Home 377, 743
 Becker, Artur (b. 1968) 368
 Beckett, Samuel (1906–89) 256, 510, 512–13
 Krapp's Last Tape 513
 Malone Dies 129, 344
 Molloy 129, 344
 Trilogy 610
 The Unnamable 129, 344, 538
 Waiting for Godot 207
 Beckford, William (1760–1844): *Vathek* 372
 Begag, Azouz (b. 1957) 580
 Behn, Aphra (1640–89) 106, 226, 272
 Love Letters 106, 290
 Oroonoko 52, 106–7, 704
 Behr, Mark (b. 1963)
 Kings of the Water 777
 Die Reuk van Appels 777
 Behrendt, Larissa (b. 1969) 486
 Belaney, Archibald Stansfield: *see* Grey Owl
 Beleño, Joaquín (1922–88) 162
 Belghoul, Farida (b. 1958) 580
 Belknap, Jeremy (1744–98): *The Foresters* 731
 Belli, Gioconda (b. 1948) 472
 Adiós muchachos 163
 La mujer habitada 163
 Bello, Andrés (1781–1865) 781

- Bellow, Saul (1915–2005) 742
The Adventures of Augie March 453, 846
Dangling Man 452
Henderson the Rain King 453, 846
Herzog 454
Mr. Sammler's Planet 454
Seize the Day 453
The Victim 452
- Bely, Andrei (1880–1934)
Kotik Letaev 718
Peterburg 523, 718, 720
Serebriannyyi golub' 718
- Ben Amar, Di (b. 1950) 578
- Ben Attia, Abdelmajid 576
- Ben Cherif, Caid (1879–1921) 578
- Ben Diaf, Mohsen 576
- Ben Hadduga, 'Abd al-Hamid (b. 1925–96): *Rih al-janoub* 578
- Ben Khalifa, Moheddine 576
- Ben Moussa, Huseen Zafer: *Mabrouka* 577
- Ben Saleh, Muhammad al-Hadi (b. 1945) 576
- Ben Salem, Muhammad al-Dib 576
- ben Salem, Omar, *Waha bila zila* 576
- Ben Sha'ban, Muhammed Fahmi 574
- Ben Shaikh, Abdel Qader (b. 1929): *Wa Nasibi min al-Ufuq* 576
- Ben Slama, Al-Bashir: *Aisha* 576
- Benaissa, Slimane (b. 1943) 580
- Benali, Abdelkader (b. 1975) 498, 580
- Bencastro, Mario (b. 1949)
Disparo en La Catedral 164, 471
Odisea del norte 471
Viaje a la tierra del abuelo 471–2
- Benedictsson, Victoria (1850–88): *Pengar* 582
- Benet, Juan (1927–93): *Volverás a Región* 410
- Benford, Gregory (b. 1941) 728
- Benítez, Sandra (b. 1941) 472
- Benítez Rojo, Antonio (1931–2005): *La isla que se repite* 145–6
- Bennett, Agnes Maria (ca. 1760–1808): *Ellen, Countess of Castle Howel* 688
- Bergelson, David (1884–1952) 859–60
Opgang 860
- Bernardin de Saint-Pierre, Jacques-Henri (1737–1814): *Paul et Virginie* 60, 331
- Bernardo, José Raul: *Wise Women of Havana* 471
- Bernhard, Thomas (1931–89) 196, 366
- Berrada, Mohamed (b. 1948) 577
- Bertrand, Louis (1807–41) 578
- Bessenyei, György (1747–1811): *Tariménes utazása* 166
- Bester, Alfred (1913–87) 728
- Betcherman, Michael: *Daughters of Freya* 293
- Bhamaha (6th or 7th cent.): *Kavyalamkara* 32
- Bhengu, Kenneth: *Baba Ngonile* 774
- Bichsel, Peter (b. 1935) 366
- Bierce, Ambrose (1842–1914?) 661
- Biller, Maxim (b. 1960) 369
- Biondi, Franco (b. 1947) 368
- Biondi, Giovan Francesco (1572–1644) 433
- Bioy Casares, Adolfo (1914–99): *La invención de Morel* 783–4
- Bird, Robert Montgomery (1806–85) 740
Nick of the Woods 838
- Birdwell, Russell J. (1903–77): *Ruth Snyder's Tragedy* 736
- Bisson, Terry (b. 1942) 729
- Bitov, Andrei (b. 1937): *Pushkinskii dom* 724
- Bjørneboe, Jens (1920–76): *Under en hårdere himmel* 584
- Bjørnson, Bjørnstjerne (1832–1910)
Arne 582
En glad Gut 582
Synnøve Solbakken 582
- Blackburn, Douglas (1857–1929)
A Burgher Quixote 770
Leaven 770
- Blackmore, R. D. (1825–1900): *Lorna Doone* 670
- Blais, Marie-Claire (b. 1939)
La Belle Bête 141
Une saison dans la vie d'Emmanuel 140
- Blake, William (1757–1827) 190, 238, 527
- Bland, Alden (b. 1911) 16
- Blaumanis, Rudolfs (1863–1908) 91
- Blest Gana, Alberto (1830–1920)
Durante la reconquista 782
Martín Rivas 782
- Blish, James (1921–75) 728
- Blixen, Karen (1885–1962): *Out of Africa* 269
- Blume, Judy (b. 1938) 159
- Boccaccio, Giovanni (1313–75): *Decameron* 4, 31, 156, 158, 703
- Bogdanov, Alexander (1873–1928) 727
- Bolaño, Roberto (1953–2003) 780
Amberes 791
Amuleto 791
Los detectives salvajes 791
Estrella distante 791
Literatura nazi en América 791
Monsieur Pain 791
Nocturne de Chile 791
La pista de hielo 791
- Böll, Heinrich (1917–85) 366

- Bombal, María Luisa (1910–80)
La amortajada 784
La última niebla 784
- Bongela, Knobel Sakhiwo (b. 1936) 775
- Boni, Nazi (1909–69): *Crépuscule de temps anciens* 854
- Bonifacić, Antun (1901–86) 764
- Bontemps, Arna (1902–73)
Black Thunder 14, 844
God Sends Sunday 14
- Boßdorf, Hermann (1877–1921), *De Fährkrog* 248
- Boon, Louis Paul (1912–79)
De Kapellekensbaan 496
Mijn kleine oorlog 496
Zomer te Ter-Muren 496
- Bordewijk, Ferdinand (1884–1965) 494
- Borges, Jorge Luis (1899–1986) 503, 780
 ambiguity 302
 and Bioy Casares 783–4
conte philosophique 611
 and Fernández 783
Ficciones 514, 606
 on *Genji* 442–3
 history/readership 784
 as influence 519
 on Kafka 211
 metafiction 242
- Bouazza, Hafid (b. 1970) 498
- Boujedra, Rachid (b. 1941) 578
FIS de la haine 579
Lettres algériennes 579
Al-tafakkuk 579
- Boujeh, Slaheddine (b. 1956) 577
- Boullosa, Carmen (b. 1954): *Duerme* 519
- Bourassa, Napoléon (1827–1916): *Jacques et Marie* 138
- Bourget, Paul (1852–1935) 219
- Bowdler, Thomas (1754–1825) 154
- Bowen, Elizabeth (1899–1973) 8
The House in Paris 127
- Bowering, George (b. 1936): *Burning Water* 142
- Brackenridge, Hugh Henry (1748–1816) 263
Modern Chivalry 264, 837–8
- Brackett, Leigh (1915–78) 729
- Bradbury, Ray (b. 1920): *Fahrenheit 451* 728
- Braddon, Mary Elizabeth (1837–1915): *Lady Audley's Secret* 123, 509
- Braschi, Giannina (b. 1953): *Yo-Yo Boing!* 150
- Brecht, Bertolt (1898–1956): *The Caucasian Chalk Circle* 203
- Bremer, Frederika (1801–65): *Hertha* 582
- Breñas, César (1900–1976): *Alba de América* 161
- Brenner, Y. H. (1881–1921) 380
- Breslin, Jimmy (b. 1929) 458
- Breton, André (1896–1966) 342
Les champs magnétiques 809
Nadja 342, 809
- Brink, André P. (b. 1935)
Donkermaan 776
Kennis van die Aand 776
’n Droë Wit Seisoen 776
Sandkastele 776
- Brito, Aristeo (b. 1942): *El diablo en Texas* 467
- Brito, Ronaldo Correia de (b. 1950):
Galiléia 104
- Briusov, Valery (1873–1924)
Altar’ pobedy 717
Ognennyi angel 717
- Broch, Hermann (1886–1951) 209
Die Schlafwandler 699
Der Tod des Vergil 365, 820
- Brod, Max (1884–1968) 167
- Brontë, Charlotte (1816–55)
 adaptation 297
 Buzard 56
 domestic novel 261
 excluded 295
 feminist theory 297
 pseudonym 118
 psychological novel 635
 technological advances 119
 works, *Jane Eyre* 1–2, 54, 94, 121, 130, 150, 170, 195, 235, 249, 296, 370, 371, 486, 527, 551, 560, 612, 650–1, 688–9, 794
- Brontë, Emily (1818–48) 3, 295, 689
Wuthering Heights 121, 308, 323, 550, 812–13, 815, 816
- Brooke, Frances (1724–89): *The History of Emily Montague* 135, 137
- Brooks, Gwendolyn (1917–2000): *Maud Martha* 16
- Brophy, Brigid (1929–95): *The Red and the Green* 645
- Brossard, Nicole (b. 1943): *Le désert mauve* 143
- Brown, Andrew (b. 1967): *Coldsleep Lullaby* 772
- Brown, Charles Brockden (1771–1810) 263–4
Alcuin 740
Arthur Mervyn 242, 266, 837
Edgar Huntly 265, 836, 837, 838
Monthly Magazine 685
Ormond 266
Wieland 264, 836, 838

- Brown, Chester (b. 1960)
I Was a Child of Holocaust Survivors 144
Louis Riel 136
- Brown, William Hill (1765–93): *The Power of Sympathy* 264
- Brown, William Wells (1814?–84)
Clotel; or the President's Daughter 10, 11, 840
Narrative of William W. Brown 10–11
The Power of Sympathy 265
- Bruggen, Carry van (1881–1932)
Eva 494
Heleen 494
Het verboden rijk 494
- Brunet, Marta (1897–1967): *Humo hacia el sur* 785
- Brunner, John (1935–95) 729
- Brunton, Mary (1778–1818): *Self-Control* 120
- Bryce Echenique, Alfredo (b. 1939) 51
- Buarque, Chico (b. 1944) 99
Leite derramado 104
- Buchan, John (1875–1940): *The Thirty-Nine Steps* 125
- Buckler, Ernest (1908–84): *The Mountain and the Valley* 141
- Bugra, Tarık (1918–94) 825
- Bugul, Ken (b. 1947): *Le Baobab fou* 855
- Bulatovic, Miodrag (1930–91): *Ljudi sa cetiri prsta* 766
- Bulgakov, Mikhail (1891–1939) 279
Belaia gvardiia 720
Dni Turbinykh 720
The Master and Margarita 92
Master i Margarita 723
Sobach'e serdse 605
- Bulosan, Carlos (1911–56): *America Is in the Heart* 67
- Bulwer-Lytton, Edward (1803–73) 118, 275–6, 277
Eugene Aram 120
My Novel 119
Pelham 120
- Bunin, Ivan (1870–1953)
Derevnia 718
Sukhodol 718
Zhizn' Arsen'eva 718–19
- Bunyan, John (1628–88): *Pilgrim's Progress* 106, 198, 237, 672, 674, 703
- Burgess, Anthony (1917–93) 129
A Clockwork Orange 129
The Malayan Trilogy 751
- Burke, Fielding (1869–1968): *Call Home the Heart* 844
- Burney, Frances (1752–1840) 483, 659
Camilla 113
Cecilia 113, 114
Evelina 113, 236, 290
- Burns, John Horne (1916–53) 645
- Burroughs, Augusten (b. 1965), *Running with Scissors* 485
- Burroughs, Edgar Rice (1875–1950) 728
- Burroughs, William S. (1914–97) 646, 729
The Naked Lunch 159, 846
- Burton, María Ámparo Ruiz de (1832–95)
The Squatter and the Don 467, 839
Who Would Have Thought It? 467, 839
- al-Bustani, Alice (1870–1926) 60
- al-Bustani, Salim (1846–84) 60, 574
al-Hiyam fi Jinan al-Sham 573
- Butler, Octavia E. (1947–2006) 17
Kindred 16
Parable novels 729
Xenogenesis trilogy 729
- Butler, Samuel (1835–1902): *Erewhon* 605
- Butor, Michel (b. 1926?) 343
L'emploi du temps 343
- Buyssse, Cyriel (1859–1932): *Tantes* 493
- Byatt, A. S. (b. 1936): *Possession* 292
- Cabezas, Omar (b. 1950) 163
- Cable, George Washington (1844–1925)
Dr. Servier 248
The Grandissimes 668, 841
- Cabré, Jaume (b. 1947): *Les vues del Pamano* 412
- Cabrera Infante, Guillermo (1929–2005)
Antes que anochezca 149
La Habana para un Infante difunto 149
El mundo alucinante 149
La ninfa inconstante 149
Otra vez el mar 149
El portero 149
Tres tristes tigres 148–9
- Cadalso y Vázquez, José de (1741–82): *Cartas marruecas* 289
- Cadigan, Pat (b. 1973) 729
- Cahan, Abraham (1860–1951)
The Imported Bridegroom 451
The Rise of David Levinsky 451, 842
Yekl 451, 842
- Cai Yuanfang (fl. 1730–67) 21
- Cain, James M. (1892–1977) 845
- Callado, Antonio (1917–97): *Quarup* 99
- Callaghan, Morley (1903–90): *Strange Fugitive* 141

- Callimachus (305–240 BCE) 283
Hecate 281
- Calverton, V. F. (1900–1940) 506, 741
- Calvino, Italo (1923–85) 436–7, 690
Il castello dei destini incrociati 437
I nostri antenati trilogy 437
Se una notte d'inverno un viaggiatore 196, 437, 538, 655
Il sentiero dei nidi di ragno 437
- Cambaceres, Eugenio (1843–89)
En la sangra 569
Sin Rumbo 569, 782
- Camilleri, Andrea (b. 1925) 433
La forma dell'acqua 438
 Montalbano series 438
- Caminha, Adolfo (1867–97) 569
Bom crioulo 569
Bom-Crioulo 644
- Campobello, Nellie (1900–86): *Cartucho* 516
- Camus, Albert (1913–60) 90, 495, 634
La chute 675
L'Étranger 406, 610, 675
La peste 675
- Cañas, José María (1904–80): *Pedro Arnáez* 162
- Canetti, Elias (1905–94) 361
- Cankar, Ivan (1876–1918)
Hisa Marije Pomocnice 763
Na klanču 763
- Cao, Lan (b. 1961): *Monkey Bridge* 69
- Cao Guilin (b. 1947): *Beijingren zai Niuyue* 188
- Cao Xueqin (ca. 1715–ca. 1763) 180
Hung-lou-meng 596
Shitou ji 27, 205
- Capek, Karel (1890–1938)
Hordubal trilogy 168
Insect Play 725
R.U.R. 727
Válka s mloky 168, 605
- Capek-Chod, Karel Matej (1860–1927) 167
- Capote, Truman (1924–84): *In Cold Blood* 302, 458
- Capuani, Luigi (1839–1915): *Il Marchese de Roccaverdina* 568
- Carbonera, Mercedes Cabello de (1845–1909): *El conspirador* 48
- Card, Orson Scott (b. 1951) 729
- Cardona, Genaro (1863–1930) 161
- Cardoso, Lúcio (1913–68): *A luz no subsolo* 99
- Carey, Peter (b. 1943)
Jack Maggs 2–3, 4
Oscar and Lucinda 5
- Carlet de Marivaux, Pierre (1688–1763) 325
- Carlyle, Thomas (1795–1881) 255, 684, 732
The French Revolution 816
On Heroes 483
Sartor Resartus 63, 607
- Carpentier, Alejo (1904–80) 147, 385, 503, 611, 666
Concierto barroco 148
Los pasos perdidos 147
real maravilloso 152
El recurso del método 254
El reino de este mundo 147, 149
El siglo de las luces 147–8
- Carr, John Dickson (1906–77) 244
- Carrier, Roch (b. 1937): *La Guerre, Yes Sir!* 136, 143
- Carrington, Leonora (b. 1917)
The House of Fear 810
The Oval Lady 810
- Carroll, Lewis (1832–98) 613
Alice's Adventures in Wonderland 424
- Carson, Anne (b. 1950) 136
Autobiography of Red 144
- Carter, Angela (1940–92) 810
The Bloody Chamber 5–6
The Infernal Desire Machine 132
The Magic Toyshop 5–6
Nights at the Circus 1
Shadow Dance 130
Wise Children 1
- Carvalho, Bernardo (b. 1960) 99
Nove noites 104
- Casaccia, Gabriel (1907–80)
Los exiliados 785
La llaga 785
- Castel-Bloom, Orly (b. 1960) 381
- Castellanos, Rosario (1925–74): *Balún Canán* 518
- Castellanos Moya, Horacio (b. 1957):
Insensatez 163
- Castelo Branco, Camilo (1825–90)
Amor de perdição 403
A Brasileira de Prazins 403
Os Mistérios de Lisboa 403
O Romance de um Homem Rico 403
- Castillo, Ana (b. 1953)
The Guardians 469
The Mixquiahuala Letters 292, 468–9
- Castillo, Rafael del (b. 1950): *Misterios catalanes* 403
- Castillo Solórzano, Alonso de (1584–1648?) 619
- Català, Victor (1869–1966): *Solitud* 404–5

- Cather, Willa (1873–1947) 272,
666, 843
Death Comes for the Archbishop 842
My Antonia 842
O Pioneers! 671, 842
The Professor's House 645, 842
- Catullus (84–54 BCE) 281, 286, 287
- Cazotte, Jacques (1719–92), *Le Diable amoureux* 329
- Cela, Camilo José (1916–2002)
La colmena 406
La familia de Pascual Duarte 406
Nuevas andanzas y desventuras de Lazarillo de Tormes 620
- Céline, Louis-Ferdinand (1894–1961)
D'un château l'autre 343
Voyage au bout de la nuit 342
- Centlivre, Susanna (1667?–1723): *A Bold Stroke for a Wife* 204
- Cervantes Saavedra, Miguel de (1547–1616)
anti-romance 230, 232
editing of 272
illustrations 420
as influence 47, 619
Italian translations 433
metafiction 514
myth undermined 528
narration 532
sequel to *Don Quixote* 72–3
works
Don Quixote 63, 72, 105, 109, 160, 176, 195,
205, 226, 234, 300, 303, 326, 392, 399–400,
402, 514, 515, 528, 573, 602, 603, 633, 673,
702
Novelas Ejemplares 703
Persiles y Sigismunda 205
- Cesarec, August (1893–1941): *Careva kraljevina* 764
- Cha, Louis (b.1924): *The Deer and the Cauldron* 385–6
- Cha, Teresa Hakkyung (1951–82) 465
- Chabon, Michael (b. 1963)
The Amazing Adventures of Kavalier and Clay 455
The Yiddish Policeman's Union 455
- Chachage, Chachage Seithy L. (b. 1955): *Makuadi wa Soko Huria* 270
- Chakaipa, Patrick (1932–2000)
Garandichauya 778
Karikoga Gumiremiseve 778
Pfumo Reropa 778
Rudo Ibofu 778
- Challe, Robert (1659–ca. 1720): *Les Illustres Françaises* 325, 330–1
- Chamisso, Adelbert von (1781–1838) 368
Peter Schlemihls wundersame Geschichte 364
- Chamoiseau, Patrick (b. 1953) 151
Texaco 152, 820
- Champfleury (1821–89) 660
- Chandler, Raymond (1888–1959) 244–5, 666, 845
The Big Sleep 244
“The Simple Art of Murder” 244
- Chang, Eileen (1920–95), *The Golden Cangue* 125
- Chang, Leonard 465
- Charbonneau, Robert (1911–67): *Ils posséderont la terre* 141
- Charef, Mehdi (b. 1952) 580
- Chariton (fl. 1st cent. CE): *Callirhoe* 35, 43–6, 284
- Charnas, Suzy McKee (b. 1939) 729
- Charrière, Isabelle de (1740–1805) 81
Caliste 330
Lettres de Mistriss Henley 330
Lettres neuchâteloises 330
- Chart Korbjitti (b. 1954)
Chon trok 759
Kham phiphaksa 759
- Chateaubriand, François-René de (1768–1848):
René 332
- Chatterjee, Bankim Chandra (1838–94) 384, 747
Rajmohan's Wife 746
- Chatterjee, Upamanyu (b. 1959) 747
- Chatterton, Thomas (1752–70) 4, 78
- Chaucer, Geoffrey (1340?–1400) 232
The Canterbury Tales 4, 6, 31, 158
Troilus and Criseyde 272, 544
- Chaudhuri, Amit (b. 1962): *Afternoon Raag* 747
- Chauveau, Pierre-Joseph-Olivier (1820–90) 138
- Chávez Castañeda, Ricardo (b. 1961) 515
- Chedid, André (b. 1920) 63
- Chekhov, Anton (1860–1904) 715
“The Man in a Case” 717
- Chen, Ying (b. 1961): *L'Ingratitude* 143
- Chen Shou (233–97 CE): *Sanguo zhi* 24, 179
- Cheney-Coker, Syl (b. 1945): *The Last Harmattan of Alusine Dunbar* 856
- Cheong, Fiona (b. 1961) 753
- Chernyshevsky, Nikolai (1828–89) 713
Chto delat'? 712, 718, 721
- Chesnutt, Charles W. (1858–1932) 12, 248
A Business Career 13
The Colonel's Dream 13
The Conjure Woman 668
Evelyn's Husband 13

- The House Behind the Cedars* 12, 668
Mandy Oxendine 13
The Marrow of Tradition 12
Paul Marchand, F.M.C. 13
The Quarry 13
 Chesterton, G. K. (1874–1936) 244
 Chidyausiku, Paul (b. 1927) 778
 Chidzero, Bernard (b. 1927):
 Nzvengamutsvairo 778
 Child, Lydia Maria (1802–80) 835, 836
 Hobomok 836
 Chin, Frank (b. 1940) 68
 Donald Duk 68
 Chinhañhu, Edward 249
 Chinodya, Shimmer (b. 1957) 249, 271
 Chairman of Fools 778
 Dew in the Morning 778
 Farai's Girls 778
 Harvest of Thorns 778
 Chirico, Giorgio de (1888–1978):
 Hebdomeros 810
 Chiziane, Paula (b. 1955) 779
 Chkhartishvili, Grigory: *see* Akunin, Boris
 Cho Chŏngrae (b. 1943): *T'aebaek sanmaek* 464
 Choe Inhun (b. 1936): *Kwangjang* 464
 Choe Sehüi (b. 1942) 464
 Ch'ön Seborg (1915–86) 465
 Ch'ön Unyöng 464
 Chong, Denise (b. 1953): *The Concubine's Children* 143
 Chopin, Kate (1851–1904) 248, 569
 The Awakening 570, 841
 Chora, Nassera (b. 1963) 580
 Choto, Raymond (b. 1962): *Vavariro* 778
 Choukri, Mohad (1935–2003) 576–7
 Choy, Wayson (b. 1939): *The Jade Peony* 143
 Chraibi, Driss (b. 1926) 580
 Christian, Barbara (1943–2000) 298, 299
 Christiansë, Yvette: *Unconfessed* 773
 Christie, Agatha (1891–1976) 130, 243, 244
 Chubak, Sadiq (1916–98) 430
 Chulkov, Mikhail (1740–93): *Prigozhaia povarikha* 706
 Chute, Carolyn (b. 1947) 848
 Chwin, Stefan (b. 1949) 169
 Cicero (106–43 BCE) 70, 289, 483, 693
 Cisneros, Sandra (b. 1954) 528, 849
 Caramelo 468
 The House on Mango Street 468
 Clarín (1852–1901): *La Regenta* 404
 Clarke, Arthur C. (1917–2008) 728
 Clarke, Austin (1934–74): *The Meeting Point* 143
 Claus, Hugo (1929–2008)
 De Metsiers 496
 Het verdriet van België 496
 De verwondering 496
 Cleland, John (1710–89): *Memoirs of a Woman of Pleasure (Fanny Hill)* 110, 156
 Clemens, Samuel L.: *see* Twain, Mark
 Clement, Hal (1922–2003) 728
 Coetzee, Christoffel (1945–99) 777
 Coetzee, J. M. (b. 1940) 133, 486
 Age of Iron 772
 Boyhood 772
 Disgrace 772
 Dusklands 772
 Elizabeth Costello 260
 Foe 1, 3, 514, 772
 In the Heart of the Country 772
 Life and Times of Michael K 772
 The Master of Petersburg 772
 Summertime 772
 Waiting for the Barbarians 772
 White Writing 769
 Youth 772
 Cofer, Judith Ortiz (b. 1952): *The Line of the Sun* 470
 Cohen, Hyman (ca. 1877–1950): *Aaron Traum* 452
 Cohen, Leonard (b. 1934): *Beautiful Losers* 144
 Cohen, Lester (1901–63): *Aaron Traum* 452
 Coke, Lady Mary 483
 Collett, Camilla (1813–95): *Amtmandens Døttre* 582
 Collins, Julia C. (b. 1865): *The Curse of Caste* 10
 Collins, Wilkie (1824–89) 626, 732
 The Moonstone 242, 371
 No Name 733
 The Woman in White 121, 123, 370, 509, 732
 Colunje, Gil (1831–99) 161
 Compton-Burnett, Ivy (1884–1969) 252
 Conan, Laure (1845–1924)
 À l'oeuvre et à l'épreuve 139
 Angéline de Montbrun 136, 140
 Condé, Maryse (b.1937)
 Moi, Tituba, sorcière de Salem 152
 Ségou 152
 Traversée de la mangrove 152
 La vie scélérate 152
 Congreve, William (1670–1729): *Incognita* 703
 Connor, Ralph (1860–1937) 139
 Black Rock 139
 The Man from Glengarry 139
 The Sky Pilot 139

- Conrad, Joseph (1857–1924)
 adaptations 3
 adventure plots 128
 as British novelist/third world 125
 editing of 272
 ethnography on 56
 Jameson on 417
 modernism 666
 queer fiction 644
 serialized 736
 works
 Heart of Darkness 8, 54, 56, 174, 175, 308,
 322, 373, 530, 555, 736, 794
 Lord Jim 124, 125, 560, 736
 The Nigger of the Narcissus 561
 Nostromo 522
 The Secret Agent 125
 “The Secret Sharer” 645
 Under Western Eyes 302
 Conroy, Pat (b. 1945) 848
 Conscience, Hendrik (1812–83)
 Jacob van Artevelde 491
 De Leeuw van Vlaanderen 491
 Constant, Benjamin (1767–1830): *Adolphe* 332
 Contreras, Francisco (1877–1933)
 La piedad sentimental 783
 El pueblo maravilloso 783
 Cooke, Rose Terry (1827–92) 248
 Cooper, J. California (b. 1966): *Family* 16
 Cooper, James Fenimore (1789–1851) 835
 frontier fiction 838
 as influence 135, 137
 readership 836
 reprints 681
 Scott as influence 267
 works
 The Deerslayer 835
 Home as Found 215
 The Last of the Mohicans 263, 835, 837, 838
 Leatherstocking Tales 740, 835, 836
 The Pathfinder 835
 The Pioneers 263, 835
 The Prairie 263, 835
 Coover, Robert (b. 1932) 847
 Cope, Jack (1913–91): *The Road to*
 Yserberg 771
 Corelli, Marie (1855–1924): *Vendetta* 758
 Cornwell, Patricia (b. 1956) 216
 Cortázar, Julio (1914–84) 302, 515, 666, 780
 Las armas secretas 787
 Bestiario 787
 Final del juego 787
 Historias de cronopios y de famas 787
 Libro de Manuel 788
 Rayuela 196
 62: modelo para armar 788
 Todos los fuegos el fuego 787
 Ćosić, Bora (b. 1932): *Uloga moje porodice u svetskoj*
 revoluciji 766
 Ćosić, Branimir (1898–1980): *Pokošeno polje* 764
 Ćosić, Dobrica (b. 1921): *Daleko je sunce* 765
 Cota-Cárdenas, Margarita (b. 1941): *Puppet* 468
 Cottin, Sophie (1770–1807) 383
 Couperus, Louis (1863–1923)
 De Berg van Licht 493
 De Boeken der Kleine Zielen 492
 Eline Vere 492
 De Komedianten 493
 Coupland, Douglas (b. 1961): *Generation X* 144
 Couto, António Emílio Leite (Mia) (b. 1955) 271
 Terra Sonâmbula 779
 O Último Voo do Flamingo 779
 A Varanda do Frangipani 779
 Coventry, Francis (1725?–1759) 228
 Crafts, Hannah (fl. 1853–61): *The Bondwoman’s*
 Narrative 10, 11
 Crane, Stephen (1871–1900) 278–9, 459, 664
 “The Blue Hotel” 665
 Maggie: A Girl of the Streets 248, 276, 278,
 569–70, 739, 842
 “The Open Boat” 456
 The Red Badge of Courage 276, 456, 835
 Crébillon, Claude (1707–77) 330
 Ah, quel conte! 326
 Les Egarement du coeur et de l’esprit 224, 327
 Les Heureux Orphelins 327
 *Lettres de la marquise de M**** 327
 Le Sofa 155–6, 326
 Tanzai et Néadarné 326, 327
 Cresconius Corippus, Flavius (fl. 6th cent.) 287
 Crèvecoeur, Hector St John de (1735–1813): *Letters*
 from an American Farmer 264, 266
 Cripps, Arthur Shearly (1869–1952) 269
 Bay Tree Country 777
 Crnjanski, Miloš (1893–1977)
 Dnevnik o Čarnojević 764
 Druga knjiga Seoba 766
 Roman o Londonu 766
 Seobe 764
 Crowley, John (b. 1942): *The Translator* 821
 Cruse, Howard (b. 1944): *Stuck Rubber Baby* 743
 Cubena (b. 1941): *Los nietos de Felicidad*
 Dolores 164
 Cueto, Alonso (b. 1954) 51

- Cullen, Countée (1903–46): *One Way to Heaven* 13
- Cunningham, Michael (b. 1952): *The Hours* 5
- Dacre, Charlotte (1782–1841): *Zafloya* 371, 372
- Dahab, Elizabeth (b. 1952) 63
- Dahl, Roald (1916–90) 159, 424
- Dai, Sijie (b. 1954): *Balzac et la petite tailleuse chinoise* 821
- Dalí, Salvador (1904–89): *Hidden Faces* 810
- Dalisy, Jose (b. 1954) 756
- Đalski, Ksaver Šandor (1854–1935): *U noci* 763
- Dalton, Roque (1935–75) 163
- Dandin (fl. late 6th–early 7th century) 34
Avantisundarikatha 33
Dasakumaracharita 33
Kavyadarsha 32
- Dangaremba, Tsitsi (b. 1959) 271
The Book of Not 778
Nervous Conditions 96, 778
- Dangor, Achmat (b. 1948): *Bitter Fruit* 773
- Danishvar, Simin (b. 1921): *Savushun* 430–1
- D'Annunzio, Gabriele (1863–1938) 92, 433
Il piacere 435
- Dantas, Francisco J. C. (b. 1941)
Cabo Josino Viloso 105
Coivara da memória 104,
- Danticat, Edwidge (b. 1969): *The Farming of Bones* 152
- Darío, Rubén (1867–1916) 783
Emelina 161
- Darré, Richard Walther (1895–1953): *Neuadel aus Blut und Boden* 249
- Dasgupta, Rana (b. 1971): *Tokyo Cancelled* 4
- Davidar, David (b. 1958) 748
- Davies, Robertson (1913–95): *Salterton trilogy* 141
- Davis, John 691
- Davis, Natalie Zemon (b. 1928): *The Return of Martin Guerre* 385
- Davis, Stevie (b. 1946): *The Element of Water* 130
- Dawlatabadi, Mahmud (b. 1940): *Klidar* 430
- Dazai Osamu (1909–48) 446
Shayō 448
- de Bernay, Alexandre (ca. late 12th cent.) 44
- Débêche, Djamilia (b. 1925) 578
- Defoe, Daniel (1660–1731)
 amatory novel 108
 character 176
 dialogue 251
 editions 272, 828–30
 as influence 267, 344
 origins of novel 387
 paratext 321
 reprints 677, 678
 sources 402
 spiritual autobiography 674
 translations of 816–17, 822
 works
Captain Singleton 107
Colonel Jack 107
 “Essay on the Press” 213
A Journal of the Plague Year 236, 456
Moll Flanders 108, 158, 235, 321, 401, 620, 622
Robinson Crusoe 3, 52, 107, 214, 290, 392, 456, 486, 573, 598, 604, 607, 672, 674, 740, 822, 828
Roxana 108, 238
- DeForest, John (1826–1906): *Miss Ravenel's Conversion* 835
- Deken, Aagje (1741–1804): *Historie van mejuffrouw Sara Burgerhart* 491
- Dekker, Eduard Douwes: *see* Multatuli
- Delany, Martin R. (1812–85): *Blake* 10, 11–12, 734
- Delany, Samuel R. (b. 1942) 17, 728, 729
- Deledda, Grazia (1871–1936) 436
- Delicado, Francisco (ca. 1475–ca. 1540): *La Lozana andaluza* 617
- DeLillo, Don (b. 1936) 571
Libra 848
Underworld 848
White Noise 524, 638, 848
- Delmar, Viña (1903–90): *Bad Girl* 739
- Denon, Dominique Vivant (1747–1825) 329
- Depestre, René (b. 1926): *Hadriana dans tous mes rêves* 152
- Đerić, Ivančica (b. 1969) 768
- Derrida, Jacques (1930–2004)
La carte postale 292
see also in subject index
- Desai, Anita (b. 1937) 849
Clear Light of Day 747
- Desai, Kiran (b. 1971)
Hullaballoo in the Guava Orchard 746
The Inheritance of Loss 748
- Desani, G. V. (b. 1937): *All About H. Hatterr* 129, 744, 747
- Desnica, Vladan (1905–67): *Proljeća Ivana Galeba* 765
- Desnos, Robert (1900–45): *La Liberté ou l'amour!* 809–10
- Dežulović, Boris (b. 1964) 768
- Dhanapala (ca. 10th cent.): *Tilakamanjari* 34

- Dhlomo, Herbert Isaac Ernest (1903–56) 774
 Dhlomo, Rolfes Reginald Raymond (1901–71)
 Indlela yababi 774
 UCetshwayo 774
 UDingane 774
 UShaka 774
- Diagne, Ahmadou Mapate (1886–1976): *Les Trois volontés de Malic* 854
- Diallo, Bakary (1892–1979): *Force-Bonté* 854
- Diamond, David: *Daughters of Freya* 293
- Diaz, Junot (b. 1968): *The Brief Wondrous Life of Oscar Wao* 150, 471, 820, 849
- Dib, Mohammed (1920–2003) 578
- Dibia, Jude (b. 1975): *Walking with Shadows* 857
- Dick, Philip K. (1928–82)
 Time Out of Joint 728
 Ubik 728
- Dickens, Charles (1812–70)
 Ackroyd on 4
 adaptations 6, 7, 8
 in America 680
 bildungsroman 96
 Brooks on 630–1
 Buzard 56
 characters 170, 171
 on copyright 214, 215
 dialogue 251
 editing of 272
 and gothic devices 370
 Household Words 732
 illustrations 419, 421
 intertextuality 1
 journalistic career 456–7
 London 373
 omniscient narration 292
 photographic style 613
 print runs of 600
 reading aloud 658
 religion 675
 satire 604
 serialized 730, 732
 technological advances 119
 translations 60
 Uriah Heep 175
 US reprints 680
 works
 The Battle of Life 422
 Bleak House 7, 11, 121, 242, 373, 543, 551, 604, 733, 737–8
 A Christmas Carol 659
 The Cricket on the Hearth 255
 David Copperfield 54, 119, 421, 457, 486, 561
 Great Expectations 1, 3, 6, 8, 94, 275, 277, 457, 509, 612, 630–1
 Hard Times 192, 537
 Little Dorrit 5, 7, 604, 624
 Martin Chuzzlewit 732
 Nicholas Nickleby 1, 7
 The Old Curiosity Shop 206, 732
 Oliver Twist 8, 121, 242–3, 419, 421, 457
 Our Mutual Friend 155
 Pickwick Papers 116, 155, 421, 731
 Sketches by Boz 118, 457
 A Tale of Two Cities 457
- Diderot, Denis (1713–84) 77–8, 155, 330
 Les Bijoux indiscrets 155, 330
 Jacques le fataliste et son maître 325, 330, 604
 Le Neveu de Rameau 325, 330
 La religieuse 290–1, 330
- Didion, Joan (b. 1934) 458
- DiDonato, Pietro (b. 1934): *Christ in Concrete* 845
- Dimitrou, Sotiris (b. 1955): *N'akouo kalat'onoma sou* 767
- Dimov, Dimitr (1909–66)
 Osūdeni dushi 765
 Tiutiun 765
- Dimova, Teodora (b. 1960): *Maikite* 768
- Ding Ling (1904–86) 183
- Dinter, Artur (1876–1948): *d'Schmuggler* 248
- Diop, Boubacas Boris (b. 1946): *Le Temps de Tamango* 856
- Disch, Thomas (1940–2008)
 Camp Concentration 729
 334 729
- Dischereit, Esther (b. 1952) 369
- Disraeli, Benjamin (1804–81) 118
 Sybil 192
 Vivian Grey 120
- Djaout, Tahar (1954–93) 579
- Djebar, Assia (b. 1936) 578, 579, 580
- Döblin, Alfred (1878–1957): *Berlin Alexanderplatz* 365, 523
- Doctorow, E. L. (b. 1931) 606
 Billy Bathgate 454, 848
 Ragtime 454, 848
- Dollar, Jim: see Shaginian, Marietta
- Dombrovsky, Yury (1909–78)
 Fakul'tet nenuzhnykh veshchei 724
 Khranitel' drevnostei 722
- Donadini, Ulderiko (1894–1923): *Sablasti* 764
- Dončević, Ivan (1909–82) 764
- Donoso, José (1924–96) 504, 780
 Casa de campo 788
 Coronación 788

- Este domingo* 788
Historia personal del "boom" 788
El jardín de al lado 788
El lugar sin límites 788
El obsceno pájaro de la noche 788
 Dorat, Claude-Joseph (1734–80): *Les Malheurs de l'inconstance* 330
 Dos Passos, John (1896–1970) 517, 570, 666
 The Big Money 558
 Manhattan Transfer 843
 U.S.A. trilogy 522, 614, 742, 843
 Dostoyevsky, Fyodor (1821–81) 564
 Bakhtin on 85
 fictive reader 655
 free discourse 259
 and Gogol 605
 as influence 498, 634
 psychological novel 634
 realism 713
 serialization 732
 works
 Bednye liudi 710
 Besy 195, 712
 Brat'ya Karamazovy 607, 609, 629, 630, 675, 715
 Idiot 234
 Podrostok 714–15
 Prestuplenie i nakazanie 194, 713
 Zapiski iz podpolya 609, 713, 719
 al-Dou'aji, Ali (1909–49) 575
 Jawla hawla hanat al-bahr al-mutawassit 574
 Douglass, Frederick (1818–95): *Narrative of the Life of Frederick Douglass* 10
 Douka, Maro (b. 1947): *I arhaia skouria* 767
 Doukas, Stratis (1895–1983): *Istoria enos aihmalotou* 764
 Dourado, Autran (b. 1926) 104
 Dove, Rita (b. 1952): *Thought the Ivory Gate* 514
 Doyle, Arthur Conan (1859–1930) 60, 217, 614, 759
 The Hound of the Baskervilles 243
 Sherlock Holmes stories 123, 241, 243–4, 303, 734–5
 A Study in Scarlet 243
 Drainac, Rade (1899–1943): *Španski zid* 765
 Dreiser, Theodore (1871–1945) 272, 277, 569, 664
 An American Tragedy 158
 Cowperwood Trilogy 842
 Jennie Gerhardt 742
 Sister Carrie 274, 570, 742, 842
 Droguett, Carlos (1912–66)
 Eloy 785
 Patas de perro 785
 Dryden, John (1631–1700)
 The Indian Queen 355
 MacFlecknoe 355
 Du Bois, W. E. B. (1868–1963) 13
 The Dark Princess 14
 The Quest of the Silver Fleece 13
 Dube, John Langibalele (1871–1946): *U-Jege: Insila kaShaka* 774
 Ducharme, Réjean (b. 1941): *L'Avalée des avalés* 143
 Dückers, Tanja (b. 1968): *Himmelskörper* 368
 Duclos, Charles (1704–72): *Confessions du comte de **** 327
 Dudintsev, Vladimir (1918–98): *Ne khlebom edinyim* 721
 Duffy, Maureen (b. 1933): *The Microcosm* 647
 Duiker, K. Sello (1974–2005)
 The Quiet Violence of Dreams 773
 Thirteen Cents 773
 Dujardin, Edouard (1861–1949) 635
 Les Lauriers sont coupés 365
 Dumas, Alexandre, père (1802–70) 161, 384, 600, 758–9
 Le Comte de Monte Cristo 60, 336
 Les Trois Mousquetaires 334
 Dunbar, Paul Laurence (1872–1906) 249, 569
 The Sport of the Gods 13, 570
 Duncan, Quince (b. 1940): *Kimbo* 164
 Duncan, Sara Jeannette (1861–1922) 140
 Dunmore, Helen (b. 1952): *Zennor in Darkness* 4
 Du'o'ng Thu Hu'o'ng (b. 1947) 760, 761
 Duranti, Francesca (b. 1935): *The House on Moon Lake* 821
 Duranty, Louis Edmond (1833–80) 660
 Duras, Marguerite (1914–96) 184, 343, 629, 632
 L'Amant 343
 Moderato Cantabile 343
 al-Durdunji, Hayam Ramzi (b. 1942) 64
 Durkin, Douglas (1884–1967): *The Magpie* 140–1
 Eaton, Edith (1865–1914) 66
 Eaton, Winnifred (1875–1954) 66–7
 The Heart of Hyacinth 67
 A Japanese Nightingale 66
 Mrs. Nume of Japan 66
 Ebner-Eschenbach, Marie von (1830–1916): *Das Gemeindkind* 364

- Eça de Queirós, José Maria de (1845–1900) 105
Correspondência de Fradique Mendes 292
O Crime do Padre Amaro 403
Os Maias 403–4
O Primo Basílio 403
- Echenoz, Jean (b. 1947) 343
L'équipée malaise 345
Greenwich 345
- Eco, Umberto (b. 1932) 92, 242, 656
The Limits of Interpretation 425
Il nome della rosa 201, 245, 323, 438, 481
- Edgeworth, Maria (1768–1849): *Castle Rackrent* 120, 670
- Edib, Halide (1884–1964) 822, 824
- Égüez, Ivan (b. 1944) 51
- Eisenstein, Bernice (b. 1949): *I Was a Child of Holocaust Survivors* 144
- Eisner, Will (1917–2005): *Contract with God* 376
- Ekrem, Rezaizade (1860–1936): *Araba Sevdasi* 823
- El Hachmi, Najat (b. 1979) 580
- El Kadaoui, Saïd (b. 1975) 580
- Elangkannan, Ma (b. 1938) 756
- Eliot, George (1819–80)
 Buzard 56
 as diarist 483
 on Dickens 613
 domestic realism 122–3
 on Goethe 542
 on Kingsley 635
 philosophy in novels 609
 pseudonym 118
 psychological novel 121, 634
 realism 660, 661, 662, 665–6
 as reviewer 691
 serialization 732
 and Spencer 637
 on structure of narrative 627
 technological advances 119
 television adaptations 6, 7
 works
Adam Bede 587, 660
Daniel Deronda 236, 542–3
Feliz Holt 192
Middlemarch 1, 122, 258, 273, 443, 543, 552, 555, 607, 624–5, 627, 634, 669, 672, 674
The Mill on the Floss 54, 94, 119
Romola 119, 422
Scenes of Clerical life 118
- Eliot, T. S. (1888–1965) 6, 129, 544
Four Quartets 513
 “Tradition and the Individual Talent” 6
The Waste Land 525, 705, 843
- Elizondo, Salvador (b. 1932) 518
- Elkhadem, Saad (1932–2003) 63
- Ellison, Harlan (b. 1934) 728
- Ellison, Ralph (1914–94) 15
Invisible Man 15, 742, 846
Juneteenth 15
- Elsschot, Willem (1888–1960) 493–4
Het been 494
Lijmen 494
- Eltit, Diamela (b. 1949) 780
Lumpérica 789
Por la patria 789
Vaca sagrada 789
- Emants, Marcellus (1848–1923) 492
- Emecheta, Buchi (b. 1941) 133
The Joys of Motherhood 855
- Emin, Fyodor (1735–70): *Pokhohzheniia Miramonda* 706
- Emshwiller, Carol (b. 1921) 729
- Englander, Nathan (b. 1970) 451
- Ennius, Quintus (239–169 BCE) 281
- Enquist, Per Olov (b. 1934) 584
- Enright, Anne (b. 1962) 133
- Equiano, Olaudah (1745–97): *The Interesting Narrative* 264
- Erasmus, Desiderius (1469–1536): *In Praise of Folly* 498
- Erbil, Leyla (b. 1931) 825
- Erdrich, Louise (b. 1954) 528, 849
- Erenburg, Ilya (1891–1967): *Burja* 721
- Ernst, Max (1891–1976): *A Week of Kindness or the Seven Deadly Elements* 810
- Erofeev, Venedikt (1938–90) 724
Moskva-Petushki 724
- Escoto, Julio (b. 1946): *Rey del Albor* 164
- Escudos, Jacinta (b. 1961)
A-B-Sudario 164
El desencanto 164
- Espinel, Vicente Martínez (1550–1624) 617
Marcos de Obregón 617
- Esquivel, Laura (b. 1950) 503
Como agua para chocolate 519
Malinche 519
- Esterházy, Péter (b. 1950) 169
- Étienne, Gérard (b. 1936)
Au Bord de la falaise 143
Le Nègre crucifié 143

- Evans, Augusta (1835–1909)
Macaria 835
St. Elmo 833
- Evans, Walker (1903–75): *Let us Now Praise Famous Men* 458, 614
- Fadeev, Aleksandr (1901–56): *Razgrom* 719
- Fagunwa, D. O. (1903–63): *Ogbójú Ọdẹ Nínú Igbó Irúnmalè* 855
- Fainzil'berg, I.: see Ilf, Ilya
- Faisal Tehrani (b. 1974): 1515 754
- Fakinou, Eugenia (b. 1945): *To evdomo rouho* 767
- Fallada, Hans (1893–1947) 300
- Fallas, Carlos Luis (1909–66): *Mamita Yuna* 162
- al-Faqih, Ahmad Ibrahim (b. 1942) 577
- Faqir, Fadia (b. 1956) 63
- Farah, Nuruddin (b. 1945)
Links 374
Maps 270
 “Variations on the Theme of an African Dictatorship” trilogy 270
- Farès, Nabile (b. 1940) 578
- Farrell, J. G. (1933–79)
The Siege of Krishnapur 131, 133
The Singapore Grip 131
Troubles 131
- Farrell, James T. (1904–79) 570
Studs Lonigan trilogy 845
- al-Farsi, Mustafa (b. 1931): *Al-mun'araj* 576
- Faulkner, William (1897–62) 145, 230, 513
 and Dostoyevsky 633
 editing of 272
 as influence 496, 846
 inner consciousness 232
 works
Absalom, Absalom! 511, 517, 532, 844
As I Lay Dying 6, 407, 523, 671, 844
Go Down, Moses 844
Light in August 258, 844
The Sound and the Fury 240, 511, 556, 612, 636, 843–4
- Fauset, Jessie (1882–1961) 13
The Chinaberry Tree 14
Comedy, American Style 14
Plum Bun 14
There is Confusion 14
- Fawwaz, Zaynab (1859–1914) 60
- Fayad, Luis (b. 1945) 63
- Fayyad, Tawfiq (b. 1939) 64
- Fearing, Kenneth (1902–61) 845
- Fedin, Konstantin (1892–1977): *Goroda i gody* 720
- Feith, Rhijnvis (1753–1824): *Julia* 491
- Felinto, Marilene (b.1957): *As mulheres de Tijucopapo* 99
- Fénelon, François de (1651–1715) 60, 100
Les Aventures de Télémaque 324, 822
- Fenouillot de Falbaire, Charles-Joseph 77
- Feraoun, Mouloud (1913–62) 578
- Ferber, Edna (1885–1968): *Fanny Herself* 452
- Ferdowsi (ca.935–1020) 428
- Fernández, Macedonio (1874–1952) 783
Adriana Buenos Aires 783
Museo de la novela eternal 783
Papeles de reciénvenido 783
- Fernández, Roberto G. (b. 1951)
Raining Backwards 470
La vida es un special 467
- Fernández de Lizardi, José Joaquín (1776–1827): *El periquillo sarniento* 515–16
- Fernando, Lloyd (1926–2008) 754, 756
- Ferrante, Elena
L'amore molesto 438
La figlia oscura 438
I giorni dell'abbandono 438
- Ferré, Rosario (b. 1938)
La caja de Pandora 150
Eccentric Neighborhoods 150
The House on the Lagoon 150
- Ferron, Jacques (1921–85): *Le Ciel de Québec* 143
- Feuchtwanger, Lion (1884–1958) 385
- Fielding, Henry (1707–54) 226
 character 176, 228
 classical reader 387
 dialogue 251
 as diarist 483
 epic in prose 391
 Hazlitt on 229
 as influence 267
 moral benefits 198
 reprints 677
 Russian translations 706
 virtue/villainy 543
 Wesleyan edition 278
 works
Amelia 109, 325
Joseph Andrews 109, 199, 227–8, 390–1, 549, 604
Shamela 109
Tom Jones 109, 199, 205, 228, 236, 278, 542, 552, 556, 558, 604, 623, 704, 706, 740, 814
- Fielding, Sarah (1710–68)
David Simple 114
Volume the Last 114

- Figuli, Margita (1909–95) 168
- Findley, Timothy (1930–2002): *The Wars* 142
- Firbank, Ronald (1886–1926): *The Flower Beneath the Foot* 644
- Firman, Gha'ib Ti'ma (1927–90) 62
- Fischer, Rudolph (1897–1934)
The Conjure Man Dies 14
The Walls of Jericho 14
- Fitzgerald, F. Scott (1921–86)
The Great Gatsby 259, 612, 652, 742, 843
Tender is the Night 276, 736
- FitzPatrick, J. Percy (1862–1931): *Jock of the Bushveld* 769
- Fitzroy, A. T. (1890–1980): *Despised and Rejected* 644
- Flaccus, Valerius (ca. 1st cent. CE):
Argonautica 281, 286
- Flaubert, Gustave (1821–80)
conversion 194
decadence 219
free discourse 259
as influence 492
Koelb on 209
narrative perspective 544
novel as art 231
photographic style 613
realism 336–7, 393, 655, 660, 662
religion in novels 674
serialization 732
showing/telling 699
time/space 792
works
Bouvard et Pécuchet 602, 605
Un cœur simple 278, 279–80
Dictionary of Accepted Ideas 153
L'éducation sentimentale 94, 337
Madame Bovary 153, 154, 156, 160, 194, 203, 239, 332, 336–7, 555, 561, 656
Salamambo 674
La tentation de Saint Antoine 674
Trois contes 674
- Fleming, Ian (1908–64)
Casino Royale 130
James Bond novels 806
- Fløgstad, Kjartan (b. 1944): *Dalen Portland* 584
- Flores, Juan de (ca. 1395–1476): *Historia de Grisel y Mirabella* 401
- Flores, Marco Antonio (b. 1937): *Los compañeros* 163
- Foer, Jonathan Safran (b. 1977) 821
Everything is Illuminated 454
- Fogazzaro, Antonio (1842–1911):
Malombra 434–5
- Fombano, Rufino Blanco (1874–1944) 783
- Fonseca, Rubem (b. 1925): *Bufo & Spallanzani* 99
- Fontane, Theodor (1819–98) 363, 655
Effi Briest 364
- Ford, Ford Madox (1873–1939) 127, 814
The English Novel 116
The Good Soldier 127, 522, 523
Parade's End 127
- Ford, Richard (b. 1944) 666
Independence Day 847
The Sportswriter 847
- Forrest, Leon (1937–97) 16
- Forster, E. M. (1879–1970) 727
amd Rao 127–8
ethnography on 56
and Hall 157
modernism 666
narrative 535
works
Aspects of the Novel 193
Howard's End 5, 7, 126
Maurice 157, 644
A Passage to India 126, 127
A Room with a View 7
- Foscolo, Ugo (1778–1827): *Ultime lettere di Jacopo Ortis* 288, 291, 433–4
- Foster, Hannah Webster (1758–1840): *The Coquette* 739, 836
- Fothergill, Jesse (1851–91): *Probation* 481–2
- Fowles, John (1926–2005)
The Collector 308
The French Lieutenant's Woman 514, 532, 538
The Magus 5
- France, Anatole (1844–1924): *L'Île des Pingouins* 605
- Francis Alfár, Dean (b. 1969) 756
- Francisco, Lázaro (1898–1980) 754
- Fraser, Ronald (b. 1930): *In Search of a Past* 513
- Frederic, Harold (1856–98): *The Damnation of Theron Ware* 841
- Freeman, Mary E. Wilkins (1852–1930) 248
- Freeman, R. Austin (1862–1943) 244
- Frey, James Christopher (b. 1969) 486
- Frisch, Max (1911–91) 362
- Fuchs, Daniel (1909–93): *Williamsburg Trilogy* 452, 845
- Fuentes, Carlos (b. 1928) 399, 515, 666
Las buenas conciencias 671
La frontera de cristal 517
La muerte de Artemio Cruz 517

- La región más transparente* 517, 671
La silla del águila 292
Terra Nostra 517
 Fuguet, Alberto (b. 1964): *Mala onda* 791
 Fula, Arthur (1908–66): *Johannie giet die beeld* 776
 Fuller, Roy (1912–91) 129
 Furetière, Antoine (1619–88) 74, 80
 Roman bourgeois 325
 Furmanov, Dmitry (1891–1926) 719
 Chapaev 721
 Füzuzan (b. 1935) 825
- Gaboriau, Emile (1832–73): *Monsieur Lecoq* 243
 Gadda, Carlo Emilio (1893–1973)
 La cognizione del dolore 437
 Quer pasticciaccio brutto de via Merulana 437
 Gaddis, William (b. 1922) 252
 Gailit, August (1891–1960) 88
 Gaines, Ernest J. (b. 1933) 17
 The Autobiography of Miss Jane Pittman 16–17
 In My Father's House 15
 Galanaki, Rhea (b. 1947): *O vios tou Ismail Ferik Pasha* 767
 Galba, Martí Joan de (d. 1490) 401
 Galgut, Damon (b. 1963)
 The Beautiful Screaming of Pigs 772
 The Good Doctor 772
 The Impostor 772
 Galich, Franz (1951–2007): *Managua, salsa city* 164
 Galland, Antoine (1646–1715): *Mille et Une Nuits* 326
 Gallegos, Romulo (1894–1969) 671
 Doña Bárbara 255
 Galsworthy, John (1859–1932): *Forsyte Saga* 492
 Galván, Manuel de Jesús (1834–1911):
 Enriquillo 149
 Gamalinda, Eric (b. 1956): *Empire of Memory* 754
 Gamboa, Federico (1864–1939): *Santa* 569
 Gámez, José Dolores (1851–1923) 161
 Gan Bao (d. 336 CE): *Soushen houji* 26
 Gao E. (1738?–1815?) 180
 Gao Xingjian (b. 1940) 596
 Lingshan 188
 Garborg, Arne (1859–1924)
 Hjaa ho Mor 583
 Trette Mænd 583
 García, Cristina (b. 1958)
 Dreaming in Cuban 149, 471
 Monkey Hunting 149
 García Calderón, Francisco (1888–1953) 783
 García Calderón, José (1888–1916) 783
 García Calderón, Ventura (1886–1959) 783
 García Márquez, Gabriel (b. 1928) 69, 184, 515
 magical realism 385, 504, 666, 671
 works
 Cien años de soledad 206, 503, 514, 528, 606, 675, 790
 El otoño del patriarca 254
 García Monge, Joaquín (1881–1958) 161
 García-Aguilera, Carolina (b. 1949) 471
 Gardner, Erle Stanley (1889–1970) 244
 Garréta, Anne (b. 1962): *Sphinx* 344
 Garro, Elena (1920–98): *Recuerdos del porvenir* 518
 Garshin, Vsevolod (1855–88) 715
 Gaskell, Elizabeth (1810–65) 119, 261, 635
 Cranford 118
 Mary Barton 122, 192
 North and South 732
 Sylvia's Lovers 119
 Wives and Daughters 117
 Gaspar de Alba, Alicia (b. 1958): *Desert Blood* 469
 Gaspé, Philippe Aubert de, Jr. (1814–41):
 L'influence d'un livre 135, 137
 Gaspé, Philippe Aubert de (1786–1871):
 Les Anciens Canadiens 136, 137, 138
 Gass, William H. (b. 1924) 513
 Omensetter's Luck 514
 Gautier, Théophile (1811–72): *Mademoiselle de Maupin* 420
 Genet, Jean 646
 Genga-Idowu, F. M. (1960–98) 271
 Genlis, Madame de (1746–1830) 383
 Gérin-Lajoie, Antoine (1824–82): *Jean Rivard* 138
 Ghali, Waughih (1930–69) 63
 Ghallab, 'Abd al-Karim (b. 1919) 63, 576
 Dafanna al-Madi 576
 Al-Mu'allim Ali 576
 Sab'at Abwab 576
 Ghanim, Fathi (1924–99) 63
 al-Ghitani, Gamal (b. 1945) 63
 Ghose, Zulfikar (b. 1935): *The Murder of Aziz Khan* 749–50
 Ghosh, Amitav (b. 1956): *The Hungry Tide* 748
 Gibbon, Edward (1737–94): *Decline and Fall* 154
 Gibran, Khalil (1883–1931): *Al-Ajniha al-mutakassira* 573
 Gibson, William (b. 1948)
 Count Zero 144
 Mona Lisa Overdrive 144
 Neuromancer 144, 729

- Gide, André (1869–1951) 158–9, 210, 341, 644, 742
Les Caves du Vatican 341, 522
Les Faux-monnayeurs 194, 341, 654
L'Immoraliste 341, 521, 645, 675
La Porte étroite 341
La symphonie pastorale 675
- Gilb, Dagoberto (b. 1950): *The Last Known Residence of Mickey Acuña* 469
- Gilbert, Elizabeth (b. 1969): *Eat, Pray, Love* 484
- Gilman, Charlotte Perkins (1860–1935) 741
- Giroux, André (1916–77): *Au-delà des visages* 141
- Gissing, George (1857–1903) 123, 417, 543, 588
The Nether World 192
New Grub Street 117, 457
Workers in the Dawn 192
- Gladkov, Fedor (1883–1958) 721
- Glantz, Margo (b. 1930)
Apariciones 518
Las genealogías 518
Onda y escritura, jóvenes de 20 a 33 518
El rastro 518
- Glanville, Ernest (1888–1927): *The Despatch Rider* 769
- Glasgow, Ellen (1873–1913): *Barren Ground* 571
- Glissant, Édouard (b. 1928) 151
Caribbean Discourse 145
Poetics of Relation 145
- Glissant, René (b. 1928): *La Lézarde* 152
- Gnessin, U. N. (1879–1913) 380
- Godbout, Jacques (b. 1933)
D'Amour P.Q. 143
La Nuit de Malcomm Hudd 143
Salut Galarneau! 143
- Godwin, William (1756–1836) 120, 383, 689
Caleb Williams 242
Cloudesley 691
Things as they are 120
- Goethe, Johann Wolfgang von (1749–1832) 93
 Bakhtin on 85–6
 free discourse 259
 on Manzoni 205
 works
Die Leiden des jungen Werthers 203, 291–2, 331, 363, 542, 654
Novelle 364
Unterhaltungen deutscher Ausgewanderten 363, 364
Die Wahlverwandschaften 364
Wilhelm Meisters Lehrjahre 93, 363–4, 542, 608, 673
 world literature 442, 562, 566
- Gogol, Nikolay Vasilevich (1809–52) 279, 710
 “Diary of a Madman” 605–6
Mertvye dushi 669, 709
 “The Nose” 605
 “The Overcoat” 605, 710
- Goh, Peter Augustine (b. 1953) 756
- Goh Poh Seng (1936–2010): *If We Dream Too Long* 752
- Gold, Michael (1893–1967): *Jews Without Money* 452, 845
- Golding, William (1893–1967)
The Inheritors 489
Lord of the Flies 129
- Goldman, Francisco (b. 1955)
The Divine Husband 165
The Long Night of the White Chickens 165, 472
The Ordinary Seaman 165, 472
- Goldoni, Carlo (1707–93) 204
- Goldsmith, Oliver (1730–74)
The Citizen of the World 289
The Vicar of Wakefield 114, 706
- Gölkap, Ziya (1875?–1924) 823
- Gomes, Álvaro Cardoso (b. 1944) 99
- Gómez Carrillo, Enrique (1873–1927) 161, 783
- Gómez de la Serna, Ramón (1888–1963): *El Incongruente* 809
- Gonçalves, Ana Maria (b. 1970): *Um defeito de cor* 99
- Goncharov, Ivan (1812–91) 279
Oblomov 90, 711
Obryv 712
Obyknovennaia istoriia 710
- Goncourt, Edmund de (1822–96) 585
Germinie Lacerteux 568, 588
- Goncourt, Jules de (1830–70) 585
Germinie Lacerteux 568
- González-Berry, Erlinda (b. 1942): *Paletitas de guayaba* 467
- González, Jovita (1904–83): *Caballero* 467
- González Zeledón, Manuel (1864–1936) 161
- Goodman, Paul (1911–72)
Empire City novels 452
Parents' Day 646
- Goonewardene, James (b. 1921): *A Quiet Place* 748
- Goosen, Jeanne (b. 1938) 777
- Gordimer, Nadine (b. 1923)
Burger's Daughter 771

- The Conservationist* 771
The House Gun 771
July's People 771
The Late Bourgeois World 771
The Pickup 771
A World of Strangers 771
 Gore, Catherine (1799–1861) 120
 Gorky, Maxim (1868–1936) 96
 Mat' 721
 Gospodinov, Georgi (b. 1968): *Estestven roman* 768
 Gosse, Edmund (1849–1928): *Father and Son* 5
 Goto, Hiromi (b.1966): *A Chorus of Mushrooms* 143
 Goytisolo, Juan (b. 1931)
 Álvaro Mendiola trilogy 408–9
 "Count Julian" trilogy 646
 Juan sin Terra 515
 Gracían, Baltasar (1601–58): *El criticón* 402
 Gracq, Julien (1910–2007) 810
 Grade, Chaim (1910–82) 860
 Graffigny, Françoise de (1695–1758) 81
 Lettres d'une péruvienne 289, 327
 Grafton, Sue (b. 1940) 245
 Grahame, Kenneth (1859–1932): *Wind in the Willows* 424
 Grand, Sarah (1854–1943): *The Heavenly Twins* 125
 Grass, Günter (b. 1927) 385, 606
 Beim Häuten der Zwiebel 368
 Die Blechtrommel 94, 367, 620
 Die Hundejahre 367
 Katz und Maus 367
 Krebstgang 368
 Gray, Alasdair (b. 1934), *Lanark* 130
 Green, Anna Katherine (1846–1935): *The Leavenworth Case* 243
 Green, Henry (1905–73) 252
 Greene, Graham (1904–91)
 The Heart of the Matter 130
 The Third Man 130
 Greve, Félix Paul: *see* Grove, Frederick Philip
 Grey Owl (1888–1938)
 The Adventures of Sajo 113
 Pilgrims of the Wild 140
 Griggs, Sutton E. (1872–1933) 12
 The Hindered Hand 13
 Grigoriadis, Theodoros (b. 1956) 768
 Grigorovich, Dmitry (1822–99) 710
 Grimm, Jacob (1785–1863) 363
 Grimm, Wilhelm (1786–1859) 363
 Grimmelshausen, Hans Jacob (1621–76): *Der abenteuerliche Simplicissimus Teutsch* 202, 361, 401, 619
 Grisham, John (b. 1955) 216
 Gritsi-Millieux, Tatiana (1920–2005): *Kai idou ippos hloros* 766
 Grönloh, J. F.: *see* Nescio
 Grossman, Vasily (1905–64)
 Life and Fate 385
 Zhizn' i sud'ba 722
 Groulx, Lionel (1878–1967): *L'Appel de la race* 139
 Grove, Frederick Philip (1871–1948): *Settlers of the Marsh* 136, 141
 Groyon, Vicente (b. 1970) 756
 Grunberg, Arnon (b. 1971)
 De asielzoeker 498
 Gstaad 95–98 498
 De joodse messias 498
 De mensheid zij geprezen 498
 Onze oom 498
 De troost van de slapstick 498
 Grünthal-Ridala, Villem (1885–1942) 88
 Grynberg, Henryk (b. 1936) 169
 Guardia, Gloria (b. 1940): *Lobos al anochecer* 164
 Guène, Faïza (b. 1985) 580
 Guennoun, Said (1887–1940) 578
 Guèye, Tène Youssouf (1928–88) 578
 Guilleragues, Gabriel-Joseph de (1628–85): *Lettres portugaises* 223, 288, 290, 327
 Guimarães Rosa, João (1908–67) 105
 Grande sertão veredas 99, 103
 Güiraldes, Ricardo (1886–1927) 671
 Gulshiri, Hushang (b. 1937) 430
 Guma, Alex La (1925–85)
 And a Threefold Cord 771
 In the Fog of the Seasons' End 771
 The Stone Country 771
 Gumbi, James Nduna (b. 1919)
 Baba, Ngixolele 774
 Wayesezofika ekhaya 774
 Gunadhya (ca. 100 CE) 30, 31
 Gunsekera, Romesh (b. 1954): *Heaven's Edge* 749
 Güntekin, Reşat Nuri (1889–1956): *Çallkuşu* 824
 Guo Jingming (b. 1983) 184
 Gürpınar, Hüseyin Rahmi (1864–1944):
 Şipsevdi 823
 Gutiérrez, Carlos F. (1861–99): *Angelina* 161
 Gutiérrez, Joaquín (1918–2000): *Puerto Limón* 162

- Guzmán, Martín Luis (1887–1976)
El águila y la serpiente 516
La sombra del caudillo 516
 Washu, Enoch Fikile 775
- al-Habib, Muhammed (1858–1929) 574
 Habibi, Emile (1922–96) 62, 64
 Haddad, Malek (1927–78) 578, 579
 Haddad, Niqula (1870–1954) 60
 Haddon, Mark (b. 1962): *The Curious Incident of the Dog in the Night-time* 638
 Hage, Rawi (b. 1964) 63
De Niro's Game 143
 Hagedorn, Jessica (b. 1949) 849
Dogeaters 69
 Haggard, H. Rider (1856–1925) 123, 759
King Solomon's Mines 770
She 373, 770
 Hagiwara Sakutarō (1886–1942) 447
 al-Hakim, Tawfiq (1898–1987): 'Usfur min al-sharq 61
 Halaby, Laila (b. 1966) 63
 Haley, Alex (1921–92): *Roots* 16
 Haliburton, Thomas Chandler (1796–1865): *The Clockmaker* 137
 Hall, Radclyffe (1886–1943): *The Well of Loneliness* 157, 644, 741
 al-Hamad, Turki (b. 1953): *Adama* 96
 al-Hamadhani, Badi' az-Zaman (969–1008) 58, 60, 573
 Hamdan, Umaymah (b. 1923) 64
 Hamid, Mohsin (b. 1971): *The Reluctant Fundamentalist* 750
 Hamilton, Antoine (1646–1720): *Zeneyde* 326
 Hamilton, Elizabeth (1758–1816): *Memoirs of Modern Philosophers* 604
 Hammett, Dashiell (1894–1961) 736, 845
The Maltese Falcon 244, 551, 552
 Hamou, Abdelkader Hadj (1891–1953) 578
 Hampton, Christopher (b. 1946) 8
 Hamsun, Knut (1859–1952) 88
Børn av tiden 583
Markens grøde 583
Mysterier 583
Pan 583, 635
Segelfoss by 583
Sult 583, 635
Victoria 583
 al-Hamzawi, Muhammad Rached (b. 1934):
Bududa mat 576
 Han Han (b. 1982) 184
 Han Ungbin 465
- Hanif, Mohammed (b. 1965): *A Case of Exploding Mangoes* 750
 Hannah, Barry (1942–2010) 848
 Hansen, Maurits (1794–1842) 581
 Hao Ran (b. 1932)
Jinguang dadao 183
Yanyang tian 183
 Haqqi, Mahmud Tahir (1884–1964) 60
 Haqqi, Yahya (1905–92): *Qindil Umm Hashim* 61
 al-Haradi, Muhammad 577
 Hardy, Thomas (1840–1928)
 circulating libraries 117
 colonial markets for 216
 editions 272, 668
 film adaptations 8
 naturalism 664
 as participant-observer 192
 serialization 275, 732
 Wessex 54, 119
 works
Far From the Madding Crowd 8, 117
Jude the Obscure 158, 275, 568, 675
The Mayor of Casterbridge 8, 670
Tess of the d'Urbervilles 8, 220, 275, 568, 675
The Trumpet-Major 119
 Hari, Douad (b. 1974): *The Translator* 821
 al-Hariri, Abu Muhammad al-Qasim (1054–1122) 58, 60, 573
 Harms, Daniil (1905–42) 89
 Harper, Frances Ellen Watkins (1825–1911)
Iola Leroy 12, 652
Minnie's Sacrifice 12
Sowing and Reaping 12
Trial and Triumph 12
 Harris, George Washington (1814–69) 247, 670
 Harris, Joel Chandler (1848–1908) 55, 668
 Harris, Wilson (b. 1921)
Guyana Quartet 150
Palace of the Peacock 150
 Hart, Julia Beckwith (1796–1867): *St. Ursula's Convent* 135, 137
 Harte, Bret (1836–1902) 670
 Harun Aminurrashid (1907–86) 754
Panglima Awang 754
 Hašek, Jaroslav (1883–1923): *Osudy dobrého vojáka Svejka za světové války* 167–8, 723
 Hatoum, Milton (b. 1952) 63, 99
Dois irmãos 104
 Hatzopoulos, Konstantinos (1868–1920): *O purgos tou akropotamou* 762
 Hauptmann, Gerhart (1862–1946): *Die Weber* 248, 568

- Hausmann, Georges-Eugène (1809–91) 339
- Hawthorne, Nathaniel (1804–64) 261, 272, 681, 688
The Blithedale Romance 740
The House of Seven Gables 613, 704, 740, 833, 839
The Marble Faun 681
The Scarlet Letter 677, 740, 833, 834, 839
- Haydar, Haydar (b. 1936) 62
- Hayford, J. E. Casely (1866–1930): *Ethiopia Unbound* 853
- Haykal, Muhammad Husayn (1888–1956): *Zaynab* 60–1, 573
- Haywood, Eliza (1693–1756) 226, 227, 325, 704
Fortunate Foundlings 327
The History of Jemmy and Jenny Jessamy 112
The History of Miss Betsy Thoughtless 112
Love in Excess 107
Memoirs of a Certain Island 107
- Hazoumé, Paul (1890–1980): *Dogucimi* 854
- Head, Bessie (1937–86)
Maru 772
A Question of Power 772
- Head, Richard (1637?–86?): *The English Rogue* 105–6
- Hébert, Anne (1916–2000) 135
Les Chambres du bois 141
Kamouraska 140
- Heese, Marié (b. 1942) 777
- Heimonas, Yorgos (1939–2000): *Oi htistes* 767
- Heinlein, Robert (1907–88) 728
- Hejazi, Mohammad-e (1900–73)
Homa 430
Ziba 430
- Heliodorus (fl. 4th cent. CE) 35, 44
Aethiopica 46, 201, 205–6, 284, 703
- Heller, Joseph (1923–99): *Catch-22* 551, 846
- Hemachandra:
Trishashtishalakapuruschacarita 34
- Hemingway, Ernest (1899–1961) 159
journalistic career 456
libel law 215
modernism 666
serialized 735, 736
works
A Farewell to Arms 216, 257, 735, 843
“*The Killers*” 558
In Our Time 843
The Sun Also Rises 158, 742, 843
- Hemon, Aleksandar (b. 1964) 768
- Hémon, Louis (1880–1913): *Maria Chapdelaine* 141
- Henze, Hans Werner (b. 1926): *El Cimarrón* 149
- Heraclitus (ca. 540–ca. 480 BCE) 39
- Herbert, Frank (1920–86): *Dune* 728
- Herbst, Josephine (1892–1969): *Trexler* trilogy 845
- Herculano, Alexandre (1810–77)
Eurico, o presbítero 403
O Bobo 403
- Heredia, José María (1803–39): *Jicotéñal* 146
- Herling-Grudziński, Gustav (1919–200) 168
- Hermans, Willem Frederik (1921–95)
De donkere kamer van Damokles 495
De tranen der acacia's 495
- Hernández, Felisberto (1902–64): *Las hortensias* 786
- Herrera, Flavio (1895–1968): *El tigre* 162
- Hersey, John (1914–93): *Hiroshima* 458
- Herzen, Alexandr (1812–70): *Kto vinovat?* 710
- Hesse, Hermann (1877–1962) 89, 210
Demian 528
Siddhartha 610
- Hidayat, Sadiq (1903–51): *Buf-i Kur* 430, 432
- Highsmith, Patricia (1921–95): *The Price of Salt, Carol* 157
- Hijuelos, Oscar (b. 1951): *The Mambo Kings Play Songs of Love* 149, 470
- Hillerman, Tony (1925–2008) 245
- Himes, Chester (1909–84) 16, 845
- Himmich, Bensalem (b. 1949) 577
- Hinojosa-Smith, Rolando (b. 1929) 849
Klail City Death Trip series 468
- Hinton, S. E. (b. 1949) 159
- Ho Anh Thái- (b. 1960) 760
- Hö Kyun (1569–1618): *Hong Kiltong chôn* 460–1
- Hö Ryönsun 465
- Høeg, Peter (b. 1957)
Frøken Smillas fornemmelse for sne 584–5
Kvinden og aben 585
- Hoel, Sigurd (1890–1960): *Møte ved milepelen* 584
- Hoem, Edvard (b. 1949) 584
- Hoffmann, E. T. A. (1776–1822)
Der goldne Topf 364
Lebensansichten des Katers Murr 364
Der Sandman 364
- Hoffmann, Eva (b. 1945): *Lost in Translation* 821
- Hogg, James (1770–1835): *The Private Memoirs and Confessions of a Justified Sinner* 634
- Holberg, Ludvig (1684–1754): *Nicolai Klimii Iter Subterraneum* 581
- Hölderlin, Friedrich (1770–1843) 278, 817, 820
Hyperion 94, 291, 608
- Holeček, Josef (1853–1929) 167

- Hollinghurst, Alan (b. 1954)
The Line of Beauty 5, 646
The Swimming-Pool Library 132, 646
- Homer (9th/8th cent. BCE) 76, 282, 693
Iliad 151, 281, 286, 802–3
Odyssey 5, 52, 281, 284, 287, 521, 539, 617, 621, 622
- Hong Myönghui (1888–1968) 463
- Honigmann, Barbara (b. 1949) 369
- Hooper, Johnson Jones (1815–62) 247
- Hope, Anthony (1863–1933) 759
- Hopkins, Pauline E. (1859–1930) 12
Contending Forces 13, 834
Hagar's Daughter 13
Of One Blood 13
Winona 13
- Hopkinson, Naola (b. 1960) 729
- Horace (65–68 BCE) 201, 221–2, 354
- Horn, Dana (b. 1977): *The World to Come* 455
- Hornbacher, Marya (b. 1974): *Wasted: A Memoir of Anorexia and Bulimia* 484
- Hornschmeier, Paul (b. 1977) 377
- Horváth, Tomáš (b. 1971) 169
- Hossein, Rokheya Shekhawat (1878–1932):
Sultana's Dream 746
- Hostos, Eugenio María de (1839–1903): *La peregrinación de Bayoán* 149
- Houllebecq, Michel (b. 1958)
Les particules élémentaires 345
Plateforme 345
- Hove, Chenjerai (b. 1956) 271
Ancestors 778
Bones 778
- Howard, Robert R. (1626–98): *The Indian Queen* 355
- Howard, Robert E. (1906–36) 728
- Howells, William Dean (1837–1920) 55, 588, 660, 665–6, 692, 732, 734, 841
The Rise of Silas Lapham 740
- Hrabal, Bohumil (1914–97) 169
- Hu Shi (1891–1962) 181
- Huai Ying (b. 1950) 756
- Hughes, Langston (1902–67)
Not without Laughter 13
Tambourines to Glory 16
- Hugo, Victor (1802–85) 96, 384, 418, 682, 819
Les Misérables 7, 243, 332, 337–8, 822
Notre Dame de Paris 334, 418, 819
- Huhu, Ahmad Rida (1911–65) 63
- Huizenga, Kevin (b. 1977) 377
- Humo, Hamza (1895–1970): *Grozdanin kivot* 765
- Hurst, Fannie (1889–1968): *Imitation of Life* 299
- Hurston, Zora Neale (1891–1960) 11–12, 14, 55, 249, 298
Jonah's Gourd Vine 13
Moses, Man of the Mountain 15
Seraph on the Suwanee 16
Their Eyes Were Watching God 14, 298, 551, 844
- Hussein, Taha (1889–1973): *Al-Ayyam* 576
- Husson, Jules-François-Félix: *see* Champfleury
- Huxley, Aldous (1894–1963) 159
Brave New World 605
Point Counter Point 654
- Huxley, Elspeth (1907–97) 269
- Huysman, Joris-Karl (1848–1907): *À Rebours* 219, 339, 424, 654, 675
- Hwang Sögyöng (b. 1934) 464
- Ibargüengoitia, Jorge (1928–83): *Los relámpagos de agosto* 518
- ibn Hadduqah, 'Abd al-Hamid 63
- Ibn Tufayl (d. 1185): *Hayy Ibn Yaqzan* 46, 573, 607
- Ibrahim, Hafiz (1872–1932) 574
- Ibrahim, Sun'Allah (b. 1937) 63
- Icaza, Jorge (b. 1906): *Huasipungo* 49
- Idris, Suhayl (1923–2008) 64
Al-hayy al-latini 61
- Idris, Yusuf (1927–91) 63, 64
- Ilf, Ilya (1897–1937) 89
Dvenadtsat' stul'ev 720
Zolotoi telenok 720
- Imache, Tassadit (b.1958) 580
- Inchbald, Elizabeth (1753–1821) 120
Nature and Art 604
- Irazu Garmendia, Joseba: *see* Atxaga, Bernardo
- Iron, Ralph: *see* Schreiner, Olive
- Isa Kamari (b. 1960) 756
Memeluk Gerhana 753
- Isegawa, Moses (b. 1963)
Abyssinian Chronicles 270
Snake Pit 270
- Ishak Haji Muhammad (1910–91) 754
- Isherwood, Christopher (1904–86)
Christopher and His Kind 645–6
Goodbye to Berlin 614
The World in the Evening 645
- Ishiguro, Kazuo (b. 1954) 133, 596
Never Let Me Go 374
When We Were Orphans 132
- Ishvani, G. (b. 1908) *Girl in Bombay* 125
- İşigüzel, Şebnem 826

- Iskander, Fazil (b. 1929): *Sandro iz Chegema*
trilogy 722
- Islas, Arturo (1938–91)
Migrant Souls 469
The Rain God 468
- Isler, Alan (b. 1934): *The Prince of West End*
Avenue 8–9
- Isma'il, Isma'il Fahd (b. 1940) 62
Malaf al-hadithah 67 64
- Itab, Hassan (b. 1969) 63
- Ivanauskaitė, Jurga (1961–2007): *Gardens of Hell* 91
- Iwasaki, Fernando (b. 1961) 51
- Iweala, Uzodinma (b. 1982): *Beasts of No Nation* 620
- al-Jabiri, Muhammad Salih (b. 1940)
Al-Bahru yanshuru al-wahahu 576
Laylat al-sanawat al-'ashr 576
Yawm min ayyam Zamra 576
- Jabra, Jabra Ibrahim (1919–94) 62, 63, 64
- Jacob of Serugh (451–521) 42
- Jacobs, Harriet (1813–97): *Incidents in the Life of a Slave Girl* 298
- Jacobsen, Jens Peter (1847–85): *Niels Lyhne*
582–3
- al-Jadawi, Sliman 574
- Jalal, Muhammad 'Uthman (1829–98) 60
- Jalili, Jahangir (1909–39) 430
- Jamalzadeh, M. A. (1895–1997) 429
Dar al-Majanin 430
- James, C. L. R. (1901–89): *Minty Alley* 127
- James, Henry (1843–1916)
ambiguity 302
anthropology on 55, 125
and Austen 623–4
critical works 535, 585
description 233, 238
on gothic novels 374
and Hollinghurst 5
on illustration 422
as influence 846
on *Middlemarch* 123
on multi-plot novel 624
narrative perspective 545, 551
narrative technique 553
New York edition 276
novel as art 231–2
prefaces to novels 549, 593
psychological novel 634
queer novel 647
realism 588, 660, 672, 841
on reviews 689
romances 704–5
serialization 732, 735
as source 4, 5
on Trollope 628
works
The Ambassadors 559, 634
The Art of Fiction 535
The Bostonians 457, 740, 794, 839, 840
The Golden Bowl 422, 521, 624, 634
Portrait of a Lady 509, 614, 634, 738,
839–40
The Reverberator 457
Roderick Hudson 193
The Spoils of Poynton 541
The Turn of the Screw 531, 634
What Maisie Knew 407
The Wings of the Dove 203, 258,
509, 624
- Janat, Muhammad al-Mokhtar (b. 1930) 576
- Jančar, Drago (b. 1948) 768
- Japin, Arthur (b. 1956): *De zwarte met het witte hart* 498
- Jaunsudrabiņš, Jānis (1877–1962)
Capri 92
Caucasus 92
Nāves deja 92
- Javadi, Fataneh Haj Sayed (b. 1945): *Bamdad-e Khomar* 432
- Jelinek, Elfriede (b. 1946) 366
- Jensen, Johannes V. (1873–1950)
Kongens Fald 583
Den lange Rejse 583
- Jensen, Wilhelm (1837–1911): *Gradiva* 630
- Jergović, Miljenko (b. 1966) 768
- Jersild, P. C. (b. 1935): *Geniernas aterkomst* 585
- Jewett, Sarah Orne (1849–1909) 670
The Country of the Pointed Firs 561, 841
- Jeyaretnam, Philip (b. 1964) 757
- Jhabvala, Ruth Praver (b. 1927): *Heat and Dust* 747
- Ji Junxiang (fl. 1260–80): *Zhaoshi guer* 203
- Jia Pingwa (b. 1952)
Feidu 185
Qinqiang 185
- Jia Yi (201–169 BCE) 23
- Jin, Ha (b. 1956) 849
- Jin Yong (b. 1924)
Shediao yingxiang zhuan 187
Shujian enchou lu 187
Xueshal feihu 187

- Jirásek, Alois (1851–1930) 166–7
Bratrstvo 167
Mezi proudy 167
Proti všem 167
- Joaquin, Nick (1917–2004) 754, 756
- Johnson, Charles R. (b. 1948)
Middle Passage 16, 514
The Oxherding Tale 16
- Johnson, James Weldon (1871–1938)
 12, 13
The Autobiography of an Ex-Colored Man 13
- Johnson, Samuel (1709–84) 78, 109, 228, 656
Lives of the Poets 483
Rasselas 111, 114, 236, 608, 731
- Johnson, Uwe (1934–84) 366
- Jókai, Mór (1825–1904)
Egy magyar nábob 167
Kárpáthy Zoltán 167
- Jolobe, James Ranisi (1902–76)
Elundini lo-Thukela 774
UZagula 774
- Jones, David (1895–1974): *In Parenthesis* 537
- Jones, Gayl (b. 1949) 14
- Jones, Gwenyth (b. 1952) 729
- Jones, LeRoi: *see* Baraka, Amiri
- Jones, Lloyd (b. 1955): *Mister Pip* 6
- Jordan, Archibald Campbell (1906–68): *Ingumbulo Yeminyanya* 774
- Jorge, Lúcia (b. 1946): *O vale da paixão* 411
- Jose, F. Sionil (b. 1924) 754, 756
My Brother, My Executioner 752
- Joubert, Elsa (b. 1922): *Die swerfjare van Poppie Nongena* 776
- Joyce, James (1882–1941)
 and book-trade 80
 copyright 217
 and Dostoyevsky 633
 Dublin 406
écriture féminine 298
 editions 272, 273, 278, 279, 280
 Frye on 527
 Houghton Press 280
 as influence 186, 408, 494, 747, 785–6, 843
 inner consciousness 232
 libel law 215
 myth 415
 queer fiction 645, 647
 quotation marks 250
 on reviews 689
 serialized 736
 subjective point of view 543–4
 technique 541
 time/space 792, 814
 works
Finnegans Wake 54, 280, 520, 636, 675
A Portrait of the Artist as a Young Man 55,
 126, 486, 520, 531, 559, 636, 674, 675
 “The Two Gallants” 555
Ulysses 5, 54, 125, 126, 127, 154, 156, 159,
 216, 273, 278, 279, 365, 373, 457, 520, 521,
 525, 528, 556, 636, 645, 671, 675, 736, 741,
 843
- Juvenius (fl. 4th cent.) 287
- Kachingwe, Aubrey (b. 1926): *No Easy Task* 779
- Kafka, Margit (1880–1918) 167
- Kafka, Franz (1883–1924) 167
 ambiguity 302
 Borges on 211
 Czech/German languages 362
 and Dostoyevsky 634
 as influence 186
 magical realism 503
 works
Der Prozeß 196, 207, 365, 409, 445, 523, 610
Das Schloß 196, 278, 365, 675
 “Das Urteil” 365
Die Verwandlung 365
- Kahf, Mohja (b. 1967) 63, 64
- Kaleb, Vjekoslav (1905–96): *Ponižene ulice* 765
- Kamov, Janko Polić (1886–1910): *Isušena kaljuža* 763
- Kanafani, Ghassan (1936–72) 62, 64
- Kane, Cheikh Hamidou (b. 1928): *L’Aventure ambiguë* 854
- Kang, Younghill (1903–72) 465
East Goes West 67
The Grass Roof 67
- Kang Kyöngae (1907–43): *In’gan munje* 463
- Kannabiran, Rama (b. 1943) 756
- Kaplan, Alice (b. 1954): *French Lessons* 821
- Karagatsis, Mitia (1909–1960): *O kitrinos fakelos* 766
- Karamzin, Nikolay (1766–1826): *Pis’ma russkogo puteshestvennika* 707
- Karaoşmanoğlu, Yakup Kadri (1889–1974)
 822, 824
- Karapanou, Margarita (1946–2008): *I Kassandra kai o lykos* 767
- Karasu, Bilge (1930–95) 825, 826
- Karkavitsas, Andreas (1866–1922) 763
- Karr, Mary: *The Liars’ Club* 484

- Karystiani, Ionna (b. 1952) 768
- Kashua, Sayed (b. 1975) 381
- Kästner, Erich (1899–1974): *Emil und die Detektive* 244
- Kataev, Evgenii: *see* Petrov, Evgeny Kataev, Valentin (1897–1986):
Rastratchiki 720
Vremia, vpered! 721
- Kataev, Valentin (1897–1986): *Rastratchiki* 720
- Kattan, Naïm (b. 1928): *Adieu, Babylone* 143
- Kawabata Yasunari (1899–1972) 439–40, 447, 596
on Genji 444
Kurutta ichipeiji script 444
 Nobel lecture 439, 441, 450
Utsukushisa to kanashimi 450
Yukiguni 447–8
- Kaysen, Susanna (b. 1948): *Girl, Interrupted* 484
- Kazantzakis, Nikos (1883–1957)
O kapetan Mihalis 765
O teleftaios peirasmos 765
Vios kai politeia tou Alexi Zorba 765
- Keith, Marian (1876–1961): *Duncan Polite* 139
- Kellendonk, Frans (1952–90) 497
- Keller, Gottfried (1819–90)
Der grüne Heinrich 364
Die Leute von Seldwyla 364
 retelling of *Romeo and Juliet* 364
- Kelley, Edith Summers (1884–1956): *Weeds* 571
- Kelman, James (b. 1946)
How Late it Was, How Late 130
Translated Accounts 132
- Kemal, Namık (1840–88) 823
İntibah 822
- Kemal, Orhan (1914–70) 825
- Kenan, Randall (b. 1963): *A Visitation of Spirits* 15
- Kennedy, John Pendleton (1795–1870) 835
- Kerchouche, Dalila (b. 1973) 580
- Kerouac, Jack (1922–69) 847
On the Road 846
- Kertész, Imre (b. 1929) 169
- Kesey, Ken (1935–2001): *One Flew Over the Cuckoo's Nest* 725
- Keun, Irmgard (1905–82)
Gilgi, eine von uns 366
Das kunstseidene Mädchen 366, 654
- Kezilahabi, Euphrase (b. 1944) 270, 271
- Kgatea, Kabelo Duncan b. 1961): *Monwona wa bosupa* 775
- Khadra, Yasmina (b. 1955) 579, 580
- Khaketla, Bennett Makalo (b. 1913): *Mosali a nkholo* 775
- Khalifa, Sahar (b. 1941) 62, 64
- Khashoggi, Soheir (b. 1946) 64
- Khatibi, Abdelkebir (b. 1938) 580
- al-Khemir, Sabiha (b. 1959) 63, 580
- Khosa, Ba Ka (b. 1957) 271
- Khoury, Elias (b. 1948) 574
Abwab al-madinah 64
Al-jabal al-saghir 64
Rihlat Ghandi al-saghir 64
- Khoury, Khalil (1836–1910): *Oui... idhen lastu bi-Ifranji* 573
- Khrayyif, al-Bashir (1917–83) 63, 575
Barq Al-Layal 575
Al-digla fi 'arajiniha 575
- Khukrit Pramoj, M. R. (1911–95): *Si phaen din* 759
- al-Khuri, Collette (b. 1937?) 62, 64
- Khury, Ilyas (b. 1948) 62
- Khvoshchinskaia, Nadezhda (1825–89) 711
- Kielland, Alexander L. (1849–1906)
Garman & Worse 583
Skipper Worse 583
- Killens, John Oliver (1916–87): *Youngblood* 16
- Kim, Anatoli (b. 1939) 465
- Kim Aeran (b. 1980) 464
- Kim Hakch'öl (b. 1916) 465
- Kim Manjung (1637–92): *Kuunmong* 461
- Kim Saryang (1914–50) 465
- Kim Talsu (1919–97) 465
- Kim Tongni (1913–95) 463
- Kim Yŏngha (b. 1968): *K'wizū syo* 464
- Kin, Rim (1911–59): *Sopha* 761
- Kincaid, Jamaica (b. 1949)
Annie John 151
The Autobiography of My Mother 151
Lucy 151
My Brother 151
A Small Place 151
- King, Stephen (b. 1947) 159
- King, Thomas (b. 1943): *Medicine River* 143
- King Bhoja (1000–1055): *Ramayanachampu* 34
- Kingsley, Charles (1819–75): *Westward Ho!* 635
- Kingston, Maxine Hong (b. 1940) 528, 821
The Fifth Book of Peace 68
Tripmaster Monkey 68, 847
The Woman Warrior 68, 513, 847
- Kipling, Rudyard (1865–1936) 123
The Light That Failed 217
- Kirby, William (1817–1906): *The Golden Dog* 138
- Kirk, Hans (1898–1962): *Fiskerne* 583
- Kirkland, Caroline (1801–64): *A New Home, Who'll Follow?* 837

- Kirkman, Francis (1632–ca. 1680)
The Counterfeit Lady Unveiled 106
The English Rogue 105–6
- Kiš, Danilo (1935–89)
 “Family Circus” trilogy 766
Grobница za Borisa Davidoviča 766
- Kivi, Aleksis (1834–72): *Seitsemän veljestä* 582
- Klein, A. M. (1909–72): *The Second Scroll* 141
- Klimas, Ramūnas (b. 1945): *Gintė ir jos žmogus* 90
- Klimentov, Andrei: see Platonov, Andrei
- Knister, Raymond (1899–1932): *White Narcissus* 141
- Ko’ Surangkhanang (1911–99): *Ying khon chua* 759
- Kobayashi Hideo (1902–83) 447
- Koch, C. J. (b. 1932): *The Year of Living Dangerously* 751
- Koeppen, Wolfgang (1906–96)
Tauben im Gras 367
Der Tod in Rom 367
Das Treibhaus 367
- Kogawa, Joy (b. 1935): *Obasan* 69, 143
- Kokis, Sergio (b. 1944): *Le Pavilion des Miroirs* 143
- Köll, Johann (d. 1540) 88
- Kolmar, Gertrud (1894–1943) 369
Die jüdische Mutter 365
- Kondrotas, Saulius Tomas (b. 1953): *Ir apsiniaukų žvelgiantys pro langą* 91
- Kondylakis, Ioannis (1861–1920) 763
- Kong Boun Chhoeun (b. 1939) 761
- Kong Chiyöng (b. 1963) 464
- al-Koni, Ibrahim (b. 1948) 577
- Konrád, György (b. 1933): *A cinkos* 169
- Konwicki, Tadeusz (b. 1926): *Kompleks polski* 169
- Kooiman, Dirk Ayelt (b. 1946) 497
- Kornbluth, C. M. (1923–58): *The Space Merchants* 728
- Kosiński, Jerzy (1933–91) 169
- Kosztolányi, Deszö (1885–1936) 168
- Kouhala (ca. 9th cent.): *Lilavai* 34
- Kourouma, Ahmadou (1927–2003): *Les soleils des indépendances* 855, 856
- Kovač, Mirko (b. 1938) 766
- Kranaki, Mimika (1922–2008) 766
Contre-temps 766
- Krasicki, Ignacy (1735–1801): *Mikołaja Dóswiadczyńskiego Przypadki* 166
- Kraus, Nicole (b. 1974): *The History of Love* 454
- Kreisel, Henry (b. 1922): *The Rich Man* 141
- Kreitman, Esther (1891–1954): *Der sheydim tants* 860
- Kristensen, Tom (1893–1974): *Hærværk* 584
- Krleža, Miroslav (1893–1981)
Banket u Blitvi 765
Na rubu pameti 765
Povratak Filipa Latinoviča 765
- Kroetsch, Robert (b. 1927) 142
Badlands 136
The Studhorse Man 136
- Krog, Antjie (b. 1952): *Country of My Skull* 777
- Kross, Jan (1920–2007) 89
- Krstić, Anđelko (1871–1952): *Trajan* 764
- Krúdy, Gyla (1878–1933) 167
- Kshemendra (fl. 1050) 31
- Kuai Tong (3rd cent. BCE) 21
- Kühn, C. H.: see Mikró
- Kukućin, Martin (1860–1928) 167
- Kulundžić, Josip (1899–1970): *Lunar* 764
- Kundera, Milan (b. 1929) 184
The Art of the Novel 699
Identity 323
Nesmrtelnost 196, 611
Nesnesitelná lehkost bytí 168–9
 “The Tragedy of Central Europe” 165
Žert 168
- al-Kuni, Ibrahim (b. 1948) 63, 65
Mudun al-milh 65
Sibaq al-masafat al-tawila 65
- Kuprin, Aleksandr (1870–1938): *Poedinok* 718
- Kureishi, Hanif (b. 1954)
The Black Album 131
The Buddha of Suburbia 645, 750
- Kurniawan, Ek’a (b. 1975): *Cantik itu Luka* 754
- Kurusamy, Mu Su 756
- Kuzmanov, Evgeni (b. 1941) 768
- Kuzmin, Mikhail (1872–1936): *Krylya* 644
- Kuznetsov, Anatoly (1929–79): *Babii iar* 723
- Kyle, Richard 375, 376
- Kyomuhendo, Goretta (b. 1965) 271
- La Morlière, Jacques de (1719–85): *Angola, histoire indienne* 329
- La Roche, Sophie von (1730–1807): *Geschichte des Fräuleins von Sternheim* 362–3
- La Rochefoucauld, François de (1613–80) 75
- Laâbi, Abdellatif (b. 1942) 580
- Labrador Ruiz, Enrique (1902–91): *El laberinto de sí mismo* 147
- Laclos, Pierre Choderlos de (1741–1803): *Liaisons dangereuses* 224, 290, 329
- Lacombe, Patrice (1807–63): *La terre paternelle* 138, 139

- Lafayette, Madame de (1634–93) 47, 75, 81, 194, 221, 391
La Princesse de Clèves 106, 223, 226, 325, 382–3, 392, 703–4
Zäyde 386
- Laferrière, Dany (b. 1953): *Comment faire l'amour* 143
- Lagerkvist, Pär (1891–1974): *Dvärgen* 584
- Lagerlöf, Selma (1858–1940): *Gösta Berlings saga* 583
- Lahiri, Jhumpa (b. 1967) 69
The Namesake 69, 748
- Lai, Larissa (b. 1967): *When Fox is a Thousand* 143
- Laing, Kojo (b. 1946): *Search, Sweet Country* 856
- Lakhous, Amara (b. 1970) 580
- Lalami, Laila (b. 1968) 63, 580
- Lalić, Mihajlo (1914–92): *Lelejska gora* 765
- Lamb, Charles (1775–1834) 4
- Lamb, Mary (1764–1847) 4
- Lamming, George (b. 1927)
In the Castle of My Skin 150
The Emigrants 129
- Landsman, Anne (b. 1959): *The Devil's Chimney* 773
- Langevin, André (b. 1927): *Poussière sur la ville* 141
- Lanoye, Tom (b. 1958)
Boze tongen 498
Het goddelijke monster 497
Zwarte tranen 497
- Lao She (1899–1966)
Luotuo Xiangzi 182
Mao Ch'eng Chi 605
- Laozi (fl. 6th cent. BCE) 25
- Laraj, Wasini (b. 1954) 578
- Laroui, Abdallah (b. 1933) 577
- Laroui, Fouad (b. 1958) 580
- Larreta, Enrique (1875–1961) 783
- Larsen, Nella (1891–1964) 298
Passing 14, 844
Quicksand 14, 844
- las Casas, Bartolomé de (1474–1566) 145–6, 149
- Lastarria, José Victorino (1817–88) 781
- Lat, U (1866–1921)
Sabe-bin 759
Shwei-pyi-zo 760
- Lateur, Frank: *see* Streuvels, Stijn
- Laurence, Margaret (1926–87)
The Diviners 2
 Manawaka novels 144
- Lawrence, D. H. (1885–1930)
 Cambridge edition 277
 characters 522
 copyright 217
 Dunmore on 4
 editing of 272, 273
 libel law 215
 queer fiction 645
 subjective point of view 543–4
 works
Lady Chatterley's Lover 154, 157
The Rainbow 157
Sons and Lovers 192, 273–4, 541–2
St. Mawr 523–4
Women in Love 54, 126, 127, 216, 521, 609, 645
- Laxness, Halldór (1902–98): *Atómstöðin* 584
- Laye, Camara (1928–80): *L'Enfant noir* 854
- Le Carré, John: *The Spy Who Came in from the Cold* 125
- Le Clézio, Jean-Marie Gustave (b. 1940)
Désert 344
Le Procès-verbal 344
- Le Guin, Ursula (b. 1929) 728
The Dispossessed 605, 729
The Left Hand of Darkness 729
- Lê Minh Khuê (b. 1950) 760
- le Roux, S. P. D.: *see* Leroux, Etienne
- Leacock, Stephen (1869–1944)
Arcadian Adventures with the Idle Rich 140
Sunshine Sketches of a Little Town 140
- Lechín, Juan Claudio (b. 1956) 51
- Lecoq, Louis (1885–1932) 578
- Lee, Chang-rae (b. 1965) 465
Aloft 69
The Gesture Life 69
Native Speaker 69
- Lee, Sky (b. 1952): *Disappearing Moon Café* 143
- Lee, Sophia (1750–1824) 383
The Recess 290
- Lee, Vernon (1856–1935) 587
- Lee Kok Liang (1927–92) 754, 756
- Leiber, Fritz (1910–92) 728
- Leiris, Michel (1901–92): *Aurora* 810
- Lem, Stanislaw (1921–2006) 729
- Lema, Elieshi (b. 1949) 271
- Lennox, Charlotte (1729–1804): *Female Quixote* 112, 704
- Leonov, Leonid (1899–1994): *Vor* 721
- Leprohon, Rosanna (1832–79): *Antoinette de Mirecourt* 138
- Lermontov, Mikhail (1814–41): *Geroi nashego vremeni* 708–9

- Leroux, Etienne (1922–89)
Die Derde Oog 776
To a Dubious Salvation 776
Een vir Azazel 776
Magersfontein, O Magersfontein 776
 Silberstein trilogy 776
- Lesage, Alain-René (1668–1747) 325
Gil Blas 325–6, 401, 620, 659, 709
La valise trouvée 290
- Lesipš, Knuts (b. 1909) 92
- Leskov, Nikolay (1931–95): *Nekuda* 712
- Lesperance, John Talon (1838–91): *The Bastonnais* 138
- Lessing, Doris (b. 1919) 729
The Golden Notebook 130, 777
The Grass is Singing 269, 777
- Leucippus (fl. 5th cent. BCE) 39
- Levi, Primo (1919–87): *Il sistema periodico* 513
- Levy, Andrea (b. 1956): *Small Island* 132, 151
- Lewis, C. S. (1898–1963) 727
- Lewis, M. G. (1775–1818): *The Monk* 206, 242, 371
- Lewis, Sinclair (1885–1951)
Babbit 842
Elmer Gantry 158
Main Street 842
- Lewis, Wyndham (1882–1957) 127, 215
The Apes of God 127
The Revenge for Love 522
Tarr 127, 522
- Lewisohn, Ludwig (1882–1955): *The Island Within* 452
- Lezama Lima, José (1910–76)
Oppiano Licario 148
Paradiso 148, 646
- Li Ang (b. 1952): *An Unsent Love Letter* 292
- Li Baojia (1867–1906) 181
Guanchang xianxingji 180
- Li Qiao (b. 1934): *Hanye* trilogy 186
- Li Xingfu (fl. 14th cent.), *Hoei-lan-ki* 203
- Liang Yusheng (1926–2009) 187
- Lidman, Sara (b. 1923) 584
- Lie, Jonas (1833–1908)
Familjen paa Gilje 582
Kommandørens Døtre 582
- Lim, Catherine (b. 1942) 757
- Lim, Shirley (b. 1944) 753
- Lim, Suchen Christine (b. 1948) 757
- Lim Boon Keng (1869–1957): *Tragedies of Eastern Life* 752
- Lim Wönc'h'öl 465
- Lima Barreto, Afonso Henriques de (1881–1992) 104
- Linna, Väinö (1920–92): *Tuntematon Sotilas* 584
- Lins, Osman (1924–78) 104
- Lins do Rego, José (1901–57) 104, 105
Menino de engenho 98
- Lión, Luis de (1939–84): *El tiempo principia en Xibalbá* 163
- Lippard, George (1822–54) 243, 833
- Lísias, Ricardo (b. 1975) 99
- Lispector, Clarice (1920–77) 504
A hora da estrela 103–4
A paixão segundo G.H. 99
- Liu Xiang (79–8 BCE) 21
- Liu Xie (ca. 465–ca. 532 CE): *Wenxin diaolong* 19
- Liu Yiqing (403–44 CE)
Shishuo xinyu 26
Youming lu 26
- Llewellyn, Richard (1906–83): *How Green Was My Valley* 669
- Llull, Ramon (1232/33–1315/16)
Ars Magna 400
Felix o Llibre de meravelles 400
Llibre de l'Orde de cavalleria 400
Llivre d'Evast e d'Aloma e de Blaquerua 400
- Loaysa, Luis (b. 1934) 51
- Lobo, Tatiana (b. 1939): *Asalto al paraíso* 164
- Lodge, David (b. 1935)
Author Author 4
Small World 196
- Lofting, Hugh (1886–1947): *Story of Doctor Doolittle* 154
- Lokuge, Chandani: *Turtle Nest* 749
- London, Jack (1876–1916) 159, 569, 613, 842
The Call of the Wild 570, 841
White Fang 841
- Longstreet, Augustus Baldwin (1790–1870) 670
Georgia Scenes 247
- Longus (fl. 2nd cent. CE) 35, 44
- Lopes, Manuel (1907–2005)
Chuva Braba 854
Os Flagelados do Vento Leste 854
- Lopes da Silva, Baltasar (1907–89):
Chiquinho 854
- López Soler, Ramon (1806–36): *Los bandos de Castilla* 403
- López y Fuentes, Gregorio (1895–1966):
Campamento 516
- Lorris, Guillaume de (fl. 1230) 674
- Louvet de Couvray, Jean-Baptiste (1760–97) 329

- Louw, Anna M. (1913–2003)
Die banneling: Die lyfwag 776
Die groot gryse 776
Kroniek van Perdepoort 776
- Lowry, Malcolm (1909–57): *Under the Volcano* 129, 259
- Loynaz, Dulce María (1902–97): *Jardín* 147
- Lu Xun (1881–1936)
A-Q zhengzhuan 606
Kuangren riji 181
 “A Madman’s Diary” 606
- Lubis, Mochtar (1922–2004) 754
- Lucan (39–65 CE) 282–3
Civil War 281, 285
- Lucas, Curtis (b. 1914) 16
- Lucian (120–ca. 180): *True History* 654
- Lucretius (1st cent. BCE): *On the Nature of the Universe* 282, 283–4, 427
- Lumbera, Bienvenido (b. 1932) 756
- Lumpkin, Grace (1892–1980): *To Make My Bread* 844
- Luo Guanbin (1924–67): *Hongyan* 183
- Luo Guanzhong (1330–1400)
Sanguo yanyi 19, 24, 179, 381–2, 596
Shuihu zhuan 15, 19, 25, 27, 179, 187, 203, 461, 596
- Lustig, Arnošt (b. 1926) 169
- Lutes, Jason (b. 1967): *Berlin* 377
- Luts, Oskar (1887–1953): *It Is Written* 88
- Lyra, Carmen (1888–1949) 161
- Ma Ma Lay (1917–82): *Mon-ywei mahu* 760
- Maake, Nhlanhla Paul
Ke Phethisitse DItaelo tsa Hao 775
Kweetsa ya Pelo ya Motho 775
Mme 775
- Maalouf, Amin (b. 1949) 63
- Mabasa, Ignatius Tirivangani (b. 1971):
Mapenzi 778–9
- Macaulay, Thomas Babington (1800–59)
 237, 240
- MacDonald, Ross (1915–83) 245
- Macedo, Joaquim Manuel de (1820–82): *A moreninha* 100–1
- Macgoye, Marjorie Oludhe (b. 1928) 269
- Machado de Assis, Joaquim Maria (1839–1908)
Canaã 98
Dom Casmurro 98, 102
Helena 102
Iaiá Garcia 102
- A mão e a luva* 102
Memórias póstumas de Brás Cubas 102
Triste fim de Policarpo Quaresma 98
- Mackenzie, Compton (1883–1972): *Whisky Galore* 130
- Mackenzie, Henry (1745–1831): *The Man of Feeling* 115
- MacLennan, Hugh (1907–90) 135
Barometer Rising 141
Two Solitudes 141
- MacLeod, Alistair (b. 1935): *No Great Mischief* 144
- MacLeod, Ken (b. 1954) 729
- MacNiece, Louis (1907–63) 129
- al-Madani, Ezzeddine (b. 1938) 576
- Mägi, Arvo (b. 1913) 89
- Magón (1864–1936) 161
- Mahfouz, Naguib (1911–2006) 61–2
Ahlam fatrat al-naqaha 62
Al-'a'ish fi al-haqiqa 62
Al-lis wa al-kilab 62
Amam al-'arsh 62
Asda' al-sira al-dhatiyyah 62
Awlad Haritna 62
The Cairo Trilogy 62
Kifah Tibah 61
Layali alf layla 62
Al-maraya 62
Miramar 62
Rihlat ibn Fattouma 62
Zuqaq al-midaqq 61
- Mahjoub, Jamal (b. 1960) 63
- Mailer, Norman (1923–2007) 453
An American Dream 276
The Armies of the Night 458
The Executioner's Song 258
The Naked and the Dead 846
Why Are We in Vietnam? 846
- Maillet, Antonine (b. 1929) 135
Pélagie-la-Charrette 142
- Majdak, Zvonimir (b. 1938): *Kužič stari moj* 766
- Majer, Vjekoslav (1900–75) 764
- Majetić, Alojz (b. 1938): *Cangi off gotoff* 766
- Majid, Anouar (b. 1960) 63, 580
- Major, André (b. 1942) 142
- Major, Clarence (b. 1936) 16
- Makhalisa, Barbara C. (b. 1949)
Impilo Yinkinga 779
Qilindini 779
- Makhmalbaf, Mohsen (b. 1957) 431

- Malamud, Bernard (1914–86)
The Assistant 453
The Fixer 454
The Natural 453, 528
A New Life 453
The Tenants 454
- Mallarmé, Stéphane (1842–98) 219, 339, 635
- Malory, Thomas (d. 1471?): *Morte D'Arthur* 272, 701
- Malta, Demetrio Aguilera (b. 1909) 51, 503
- Mammeri, Mouloud (1917–89) 578
- Mangunwijaya, Y. B. (1929–99): *Durga/Umayi* 754
- Maniam, K. S. (b. 1942) 744, 756
- Manilius 282–4
Astronomica 282
- Manley, Mary de la Riviere (1663–1724) 704
The New Atlantis 107
- Manley, Mrs. 704
- Mann, Heinrich (1871–1950) 385
- Mann, Thomas (1875–1955) 158, 209, 366
Die Bekenntnisse des Hochstaplers Felix Krull 401, 620
Buddenbrooks 365, 492, 568, 672
Doktor Faustus 365, 523, 528, 645, 675
Joseph und seine Brüder tetralogy 527–8
Mario und der Zauberer 365
Der Tod in Venedig 365, 675
Tonio Kröger 365
Der Zauberberg 365, 521, 609, 675, 820
- Mansour, Gregory 63
- Manzoni, Alessandro (1785–1873) 205
I promessi sposi 384–5, 433, 434
Del romanzo storico 385
Storia della colonna infame 385
- Mao Dun (b. 1896)
Shi 182
Ziye 182
- Maphalla, Kgotso Pieter David (b. 1955)
Ha maru a rwallellana 775
Nna ke mang? 775
- Mapu, Abraham (1808–67): *Love of Zion* 379
- Maquet, Auguste (1813–88) 334
- Maraghe-I, Zayn al-'Abedin (1838–1911): *Siahat-nama-ye Ebrahim Beg* 429
- Márai, Sándor (1900–89) 168
- Maran, René (1887–1960) 346
- Marana, Giovanni Paolo (1642–93): *L'esploratore turco* 289
- March, Caecia (b. 1946): *Three-ply Yarn* 646
- Marchessault, Jovette (b. 1938) 143
- Marcinkevičius, Jonas (1900–53): *Benjaminas Kordušas* 90
- Marechal, Leopoldo (1900–70): *Adán Buenosayres* 785–6
- Marechera, Dambudzo (1952–87)
Black Sunlight 271, 778
The House of Hunger 271, 778
Mindblast 778
- Marguerite de Navarre (1492–1549):
Heptaméron 703
- Marías, Javier (b. 1951)
Corazón tan blanco 411
Negra espalda del tiempo 303
Tu rostro mañana 411–12
- Marini, Giovanni Ambrogio (ca. 1594–1650):
Colloandro fedele 433
- Marinković, Ranko (b. 1913): *Kiklop* 766
- Marivaux, Pierre de Carlet Chamblain de (1688–1763) 195
Le Paysan parvenu 327
La Vie de Marianne 224, 327
- Markandaya, Kamala (b. 1924): *Nectar in a Sieve* 747
- Marković, Barbi (b. 1980) 768
- Marlatt, Daphne (b. 1942): *Ana Historic* 142
- Marmette, Joseph (1844–95): *L'Intendant Bigot* 138
- Mármol, José (1818–71): *Amalia* 782
- Maron, Monika (b. 1941): *Die Überläuferin* 366
- Marrash, Francis (1836–73): *Ghabat al-haqq* 573
- Marsé, Juan (b. 1933)
Un día volveré 410
El embrujo de Shanghai 410–11
Ronda del Guinardó 410
Si te dicen que caí 410
- Marsh, Ngaiio (1895–1982) 130
- Marshall, Paule (b. 1929): *Brown Girl, Brownstones* 16
- Martí, José (1853–95): *Amistad funesta* 147
- Martín, Enrique Congrains (1932–2009) 51
- Martinčić, Fedy (1902–82) 764
- Mártinez, Edgardo Rivera (b. 1933) 51
- Martínez, Manuel Luis (1927–98):
Crossing 469
- Martínez Ruiz, José (Azorin) (1873–1967) 405
- Martínez Sobral, Enrique (1875–1950) 161
- Martínez Villergas, Juan (1817–94): *Los misterios de Madrid* 403
- Martín-Santos, Luis (1924–64): *Tiempo de silencio* 408
- Martorell, Joanot (1410–98) 401

- Marufi, Abbas (b. 1957): *Sanfumi-ye Mordegan* 431
- Masereel, Frans (1889–1972) 376
- Masiye, Andrey S. (b. 1922) 779
- Masłowska, Dorota (b.1983) 169
- Mastretta, Ángeles (1949): *Arráncame la vida* 519
- Mas'ud, Mohammad (1905–?) 430
- Matar, Hisham (b. 1970) 63
In the Country of Men 580
- Matić, Dušan (1898–1980): *Gluho doba* 764
- Matsier, Nicolaas (b. 1945) 497
- Matthee, Dalene (1938–2005)
Fiel se Kind 777
Kringe in 'n bos 777
Moerbeibos 777
- Matto de Turner, Clorinda (1852–1909) 48
Aves sin nido 49
- Maturin, Charles (1780–1824): *Melmoth the Wanderer* 120
- al-Matwi, Muhammad al-'Arusi (b. 1920)
Halima 575–6
Al-Tut al-murr 576
- Maupassant, Guy de (1850–93) 568, 585
“Boule de Suif” 568
Pierre et Jean 588
Une Vie 568
- Maupin, Armistead (b.1944): *Tales of the City* 736–7
- Mbogo, Emmanuel (b. 1947) 270
- McBride, James (b. 1957): *The Color of Water* 484
- McCaffrey, Anne (b. 1926) 728, 729
- McCall Smith, Alexander (b. 1948): *Corduroy Mansions* 737
- McCarthy, Cormac (b. 1933) 503, 528
Blood Meridian 671, 849
The Crossing 849
- McCarthy, Mary (1912–89)
The Company She Keeps 742
The Group 742
- McCourt, Frank (1930–2009): *Angela's Ashes* 484
- McCoy, Horace (1897–1955): *They Shoot Horses, Don't They?* 845
- McCuller, Carson (1917–67): *The Heart is a Lonely Hunter* 255
- McEwan, Ian (b. 1948) 133
Atonement 8, 199, 550, 795
On Chesil Beach 207, 488
- McIntyre, Vonda (b. 1948) 729
- McKay, Claude (1890–1948) 13
Banana Bottom 14
Banjo 14, 844
Home to Harlem 14, 844
- McMillan, Terry (b. 1951) 17
- Mda, Zanele Mvula Kizito Gatyeni (Zakes) (b. 1948)
Black Diamond 773
Cion 773
The Heart of Redness 773
The Madonna of Excelsior 773
She Plays with the Darkness 773
Ways of Dying 773
The Whale Caller 773
- Meddeb, Abdelwahab (b. 1946) 580
- Mejía, Arturo (1900–72): *El tunco* 162
- Melhem, D. H. 63
- Melville, Herman (1819–91)
editions 277, 280
Frye on 527
illustrations 421
James, C. L. R. on 506
male sexuality 740
reviews 688, 689–90
revisions 276
works
Moby-Dick 2, 255, 421, 527, 532, 611, 643, 835, 839
Omoo 682
Pierre 280, 690
Typee 276, 682
White Jacket 276
- Memmi, Albert (b. 1920) 580
- Menchú, Rigoberta (b. 1959) 163
- Mencius (371–289 BCE): *Meng-zi* 25
- Mencos Franco, Agustín (1862–1902): *Don Juan Núñez García* 161
- Méndez, Miguel (b. 1930): *Peregrinos de Aztlán* 468
- Méndez Pereira, Octavio (1887–1954): *Vasco Núñez de Balboa* 162
- Menéndez, Ana (b. 1970): *Loving Che* 471
- Menglong, Feng (1574–1646) 390
Gujin Xiaoshuo 386
- Mera, Juan León (1832–94): *Cumandá* 49
- Meredith, George (1828–1909) 123, 635
- Merezhkovsky, Dmitry (1865–1941)
Antikhrist: Pyotr i Aleksey 717
Khristos i Antikhrist 717
Smert' bogov 717
Voskresshiye bogi: Leonardo da Vinci 717
- Merimée, Prosper (1803–70): *Chronique du règne de Charles IX* 333
- Meriwether, Louise (b. 1923): *Fragments of the Ark* 16
- Merril, Judith (1923–97) 729

- al-Messadi, Mahmoud (b. 1911) 63, 577
Haddatha Abu Hurayra Qal 575
Mawlid al-Nisyan 575
Al-Sudd 575
- Meung, Jean de (1240–ca. 1305): *Roman de la Rose* 674
- Meyrink, Gustav (1868–1932) 167
- Mhlongo, Murhandziwa Nicholas (Niq)
After Tears 773
Dog Eat Dog 773
- Michaels, Anne (b. 1958): *Fugitive Pieces* 144
- Michalopoulou, Amanda (b. 1966): *Oses fores antexeis* 767
- Miéville, China (b. 1972) 728, 729
- Miguel, Salim (b. 1924) 63
- Mihailović, Dragoslav (b. 1930): *Kad su cvetale tikve* 766
- Mikro (Kühn, C. H.) (1903–68) 775
- Milà de la Roca, Josep Nicasi (1807–83): *Los misterios de Barcelona* 403
- Miles, John
Donderdag of Woensdag 776
Kroniek uit die Doofpot 776–7
Stanley Bekker en die boikot 776
- Milla, José (1822–82): *La hija del adelantado* 160–1
- Millar, Kenneth: see MacDonald, Ross
- Miller, Henry (1891–1980)
Tropic of Cancer 154
Tropic of Capricorn 845
- Miller, Walter, Jr. (1923–96) 728
- Millin, Sarah Gertrude (1889–1968): *God's Stepchildren* 771
- Milton, John (1608–74) 4, 527, 677, 731
Paradise Lost 7, 731
- Mimouni, Rachid (1945–95) 579
- Mina, Hanna (b. 1924) 62
- Mir Sadiqi, Jamal (b. 1933) 430
- Mirvis, Tova (b. 1972)
The Ladies Auxiliary 455
The Outside World 455
- Mishima Yukio (1925–70) 446
 “Hōjō no umi” cycle 204, 448–9
- Mistry, Rohinton (b. 1952) 748
A Fine Balance 143
Such a Long Journey 143
- Mitchell, David (b. 1969) 256
Ghost-written 170
- Mitchell, Isaac (1759–1812) 263
The Asylum 266
- Mitchell, Margaret (1900–1949): *Gone With the Wind* 845
- Mitford, Bertram (1894–1913) 769
- Mitford, Mary Russell (1787–1855): *Our Village* 118–19
- Miyasoglu, Mustafa (b. 1946) 825
- Mkangi, Katama (1944–2004) 270, 271
- Mkfuya, William (b. 1953) 270
- Mo Yan (b. 1955) 185
Honggaolian jiazhu 185
Shengsi pilao 185, 206
- Modiano, Patrick (b. 1945): *Rue des boutiques obscures* 344
- Modjeska, Drusilla (b. 1946) 486
- Modkeddem, Malika (b. 1949) 579
- Moele, Kgebetli (b. 1978)
The Book of the Dead 773
Room 207 773
- Mofolo, Thomas (1877–1948) 774
Chaka 773–4
Moeti oa Bochabela 773
Moeti wa Botjabela 773
- Mohamed, Said A. K. (b. 1947) 270, 271
- Mohr, Nicholasa (b. 1947): *Nilda* 470
- Mohtar, Toha (1926–92): *Pulang* 752
- Moirer, James (1780?–1849): *The Adventures of Jajji Baba of Ispahan* 619
- Molière (1622–73): *Dom Juan* 204
- Molodowsky, Kadya (1894–1975) 859
- Momaday, N. Scott (b. 1934) 528
- Momplé, Lília (b. 1935): *Neighbours: The Story of a Murder* 271
- Monin, P. (1883–1940): *Bi-ei Maung Tint-hnin Kageyi-the Me Myint* 760
- Monsiváis, Carlos (1938–2010): *Días de guardar* 518
- Montaigne, Michel de (1533–92) 79, 484
- Monteforte Toledo, Mario (1911–2003): *Entre la piedra y la cruz* 162
- Montemayor, Jorge de (1520–61): *Diana* 401, 703
- Montero, Mayra (b. 1952): *Tú, la oscuridad* 149
- Montesquieu, Charles-Louis (1689–1755)
De L'esprit des lois 667
Lettres persanes 289, 305, 326, 327–8, 607
- Montgomery, L. M. (1874–1942): *Anne of Green Gables* 139
- Montpensier, Duchesse de (1627–93) 81
- Moodie, Susanna (1803–85) 135
Roughing it in the Bush 137
- Moody, Rick (b. 1961): *The Ice Storm* 847
- Moore, Brian (1921–99): *The Luck of Ginger Coffey* 141
- Moore, C. L. (1911–87) 729

- Moore, George (1852–1933) 117, 588
Esther Waters 568
 “Literature at Nurse” 568
- Moore, Terry (b. 1954): *Strangers in Paradise* 378
- Moravia, Alberto (1907–90) 436–7
Il disprezzo 528
Gli indifferenti 437
- More, Hannah (1745–1833): *Coelebs in Search of a Wife* 120
- Morgan, Claire: *see* Highsmith, Patricia
- Morgan, Sydney (1783–1859): *The Wild Irish Girl* 120
- Móricz, Zsigmond (1879–1942) 167
- Morris, William (1834–96) 190
News from Nowhere 192
- Morris, Wright (1910–98) 613, 666
- Morrison, Toni (b. 1931) 17, 159, 230, 513
 and book-trade 80
 dialect 249
 myth 528
 works
Beloved 17, 261, 298, 374, 794, 848
The Bluest Eye 16, 17
Jazz 17, 848
Love 17
A Mercy 17
Paradise 17
Playing in the Dark 651
Songs of Solomon 17
Sula 17
Tar Baby 17, 514
- Mortimer, Armine Kotin (b. 1943) 195
Tiers livre 195
- Moshfeq-e Kazemi, Morteza (1902–77): *Tehran-e Makhuf* 430
- Mosley, Walter (b. 1952) 17
Devil in a Blue Dress 245
- Mosteghanemi, Ahlam (b. 1953) 574, 579
Dhakirat al-jasad 578
- Motley, Willard (1909–65) 16
- Mpe, Phaswane (1970–2004): *Welcome to Our Hillbrow* 773
- Mqhayi, Samuel Edward Krune (1875–1945)
U-Don Jadu 774
U-Samson 774
- Mrštk, Vilém (1863–1912) 167
- Msimang, Christian Themba
Akuyiwe emhlahlweni 774
Buzani kuMkabayi 774
Folktales Influence of the Zulu novel 774
- Mtuzze, Peter Thabiso (b. 1941)
Indlel’ecand’ intlango 775
- UDingezweni* 775
Umsinga 775
- Mudimbe, Valentin Yves (b. 1941)
L’Écart 269
The Idea of Africa 269
The Invention of Africa 269
- Mukherjee, Bharati (b. 1940) 69, 748
Jasmine 69
- Mulaisho, Dominic (1933): *The Tongue of the Dumb* 779
- Mulisch, Harry (b. 1927)
De aanslag 495–6
De Ontdekking van de Hemel 497
De procedure 497
Siegfried 497
Het stenen bruidsbed 495
- Muller, Carl (b. 1935) 749
- Müller, Herta (b. 1953): *Niederungen* 362
- Multatuli (1820–87)
Of de koffiveilingen 491
Max Havelaar 491–2
Woutertje Pieterse 492
- Mungoshi, Charles (b. 1947): *Waiting for the Rain* 270–1, 778
- Munif, ‘Abd al-Rahman (1933–2004) 62–3, 65
- Muñoz Molina, Antonio (b. 1956)
Beatus Ille 411
El jinete polaco 411
- al-Muqaffa’, Ibn (d. ca. 756) 58, 573
- Murakami Haruki (b. 1949) 446
Noruwei no mori 449
- Murasaki Shikibu (b. ca. 978) 443
Genji Monogatari 203, 391, 596
- Murayama, Milton (b. 1923): *Plantation Boy* 98
- Murdoch, Iris (1919–99) 306
The Bell 645
The Black Prince 9, 514
The Sea, The Sea 5, 133
- Murillo, Emilio (1902–86): *Isnaya* 162
- Musaeus Grammaticus (fl. early 6th cent.): *Hero and Leander* 287
- Musil, Robert (1880–1942)
Die Frauen 365
Der Mann ohne Eigenschaften 196, 365, 609, 610
Die Verwirrungen des Zoglings Torless 365
- Mussa, Alberto (b. 1961) 63
- Musset, Alfred de (1810–57): *Confession d’un enfant du siècle* 332
- Mustaghnam, Ahlam (b. 1953) 63
- Mustapha, Khalifa Hussein 577
- Mutswairo, Solomon (1924–2005) 269

- al-Muwailihi, Muhammad (1868–1930): *Hadith 'Isa Ibn Hisham* 60, 573, 574
 Myrivilis, Stratis (1892–1969): *I zoi en tafo* 764
- Nabokov, Vladimir (1899–1977) 724
Dar 718
Lolita 160, 260, 531, 846
Otchaianie 718
Pale Fire 514
Priglasenie na kazn' 718
Zashchita Luzhina 718
- Naci, Muallim (1826–71) 823
- Naevius (ca. 270–201 BCE) 281
- Naipaul, V. S. (b. 1932) 150, 249, 744
A Bend in the River 151
The Enigma of Arrival 132, 151
In a Free State 133
A House for Mr. Biswas 129, 151
The Mimic Men 151
- Nakajima Atsushi (1909–42): “Mojika” 439, 440
- al-Nalouti, Aroussia (b. 1950) 63, 577
- Namjoshi, Suniti (b. 1941): *Conversations of Cow* 748
- Naranjo, Carmen (b. 1931) 163
- Narayan, R. K. (1906–2001)
The English Teacher 611
Swami and Friends 127, 746
- Narezhnyi, Vasily (1780–1825) 709
- Naslund, Sena Jeter (b. 1942): *Ahab's Wife, or The Star-Gazer* 2, 3
- Nasr, Hasan (b. 1937) 576
- Nasrallah, Emily (b. 1931) 62, 64
- Nassar, Radaun (b. 1935) 63
Lavoura arcaica 104
- Natsume Sōseki (1867–1916) 444–5
Kokoro 445–6, 448
- Navarre, Marguerite de (1492–1549):
Heptameron 156
- al-Nayhum, Al-Sadiq (1937–94) 577
- Naylor, Gloria (b. 1950) 14
Mama Day 9
- Ndebele, Njabulo (b. 1948): *The Cry of Winnie Mandela* 773
- Neal, John (1793–1876) 835
Logan 836
- Neely, Barbara (b. 1941) 17
- Nehajev, Milutin Cihlar (1890–1931): *Bijeg* 762
- Nekrasov, Viktor (1911–87): *Vokopakh Stalingrada* 721
- Nervo, Amado (1870–1919) 783
- Nescio (1882–1961) 494
- Nezami (1141–1209 CE) 44, 428
Layli o Majnun 428
- Ngubane, Jordan Kush (1917–85): *Uvalo Iwezinhlonzi* 774
- Ngūgĩ wa, James Thiong'o (b. 1938) 566
Decolonising the Mind 268
A Grain of Wheat 270, 385
Petals of Blood 270
The River Between 270
Weep Not, Child 270
- Nguyễn Huy Thiệp (b. 1950) 760
- Nicol, Mike (b. 1951)
The Ibis Tapestry 772
Payback 772
The Powers That Be 772
- Nie Hualing (b. 1926): *Sangqing yu Taohong* 187
- Nienaber, C. J. M. (1918–88): *Keerweer* 775
- Nievo, Ippolito (1831–61): *Confessions of an Italian* 434
- Njau, Rebeka (b. 1932) 271
- Noble, Frances Khirallah 63
- Nonnus (f. 450–70 CE): *Dionysiaca* 283, 287
- Nooteboom, Cees (b. 1933): *Rituelen* 497
- Norris, Frank (1870–1902) 569, 588, 664, 842
McTeague 570, 841
The Octopus 841
- Nou Hach (1916–75)
Malā tuon' citt 761
Phkā srabon 761
- Novák, Jan (b. 1953) 169
- Novakovic, Mirjana (b. 1966): *Strah i njegov sluga* 767
- Novalis (1772–1801): *Heinrich von Ofterdingen* 364, 608
- Nowlan, Philip Francis (1885–1940) 728
- Ntsane, Kemuel Edward Monyatsi (1920–83): *Bao Batho* 775
- Ntuli, Deuteronomy Bhekinkosi Zeblon (b. 1940):
Ubekha 774
- Nu'aymah, Mikhail (1889–1988) 63
- Nwapa, Flora (1931–93): *Efuru* 855
- Nyembezi, Cyril Lincoln Sibusiso (b. 1919):
Inkinsela yaseMgungundlovu 774
- O Chõnghũĩ (b. 1947) 464
- Oates, Joyce Carol (b. 1938) 571
- Obejas, Achy (b. 1956)
Days of Awe 471
Memory Mambo 471
- Obrestad, Tor (b. 1938) 584
- O'Brien, Flann (1911–66): *At Swim-Two-Birds* 129

- O'Brien, Tim (b. 1946): *The Things They Carried* 846
- O'Connor, Flannery (1925–64) 256
- Odaga, Asenath Bole (b. 1938) 271
- Öe Kenzaburō (b. 1935) 445, 446
Atarshii hito yo mezame yo 611
Kojintekina taiken 448
Man'en gannen no futtoboru 611
- Offit, Avodah (b. 1931): *Virtual Love* 293
- Offord, Carl (1910–90) 16
- Offutt, Chris (b.1958) 848
- Ogola, Margaret (b. 1958) 271
- Ogot, Grace (b. 1930) 271
- Okada, John (1923–71): *No-No Boy* 67
- Okara, Gabriel (b. 1921): *The Voice* 855
- Okri, Ben (b. 1959): *The Famished Road* 856
- Okurut, Mary (b. 1954) 271
- Olesha, Yury (1899–1960): *Zavist'* 720
- Oliphant, Margaret (1828–97): *Carlingford series* 122, 691
- Oller, Narcís (1846–1930) 403
La febre d'or 404
- Ollivier, Émile (1940–2002): *Mère Solitude* 143
- Olsen, Tillie (1912–2007): *Yonnonidio* 452, 845
- Omar, Muhammad Ali 577
- Ondaatje, Michael (b.1943) 133, 135
Anil's Ghost 749
The English Patient 749
Running in the Family 143
In the Skin of a Lion 136
- O'Neill, Jamie (b. 1962) 647
- Onetti, Juan Carlos (1909–94) 504, 780
Los adioses 787
El astillero 787
Dejemos hablar al viento 787
La vida breve 787
- Ong, Charlson (b. 1960) 756
- Oreamuno, Yolanda (1916–56) 162
- Ornitz, Samuel (1890–1957): *Haunch, Paunch, and Jowl* 451–2
- Orta, Teresa Margarida da Silva e (1711/12–93)
Aventuras de Diófanos 100
Máximas de virtude e formosura 100
- Orwell, George (1903–50) 215
Animal Farm 605
Down and Out in Paris and London 216, 458
Homage to Catalonia 458
1984 605, 728
Such, Such Were the Joys 216
- Ostenso, Martha (1900–63): *Wild Geese* 141
- Ostrovksy, Nkolai (1904–36): *Kak zakalialas' stal* 721
- Otten, Willem Jan (b. 1951) 498
Specht en Zoon 498
- Ouellette-Michalska, Madeleine (b. 1935): *La Maison Trestler* 136, 143
- Ouida (Ramée) (1839–1908) 123
- Ould Ebnou, Moussa (b. 1956)
L'amour impossible 578
Barzakh 578
- Ouologuem, Yambo (b. 1940): *Le devoir de violence* 856
- Ousmane, Sembene (1923–2007): *Les Bouts de bois de Dieu* 855
- Ovid (43 BCE–17 CE) 288
Ars Amatoria 401
Heroides 290
Metamorphoses 281, 283
- Oz, Amos (b. 1939) 381
- Özdamar, Emine Sevgi (b. 1946): *Die Brücke vom Goldenen Horn* 369
- Ozick, Cynthia (b. 1928) 451
The Cannibal Galaxy 454
The Messiah of Stockholm 454
The Puttermesser Papers 454
- Padilla, Ignacio (b. 1968) 515
- Padura, Leonardo (b. 1955): *Las cuatro estaciones* 149
- Pae, David (1828–84) 734
- Paemel, Monika van (b. 1945)
Celestien 497
De eerste steen 497
Rozen op ijs 497
De vermaledijde vaders 497
Het verschil 497
- Page, Gertrude (1872–1922) 269
- Page, Myra (1897–1993): *Gathering Storm* 844
- Page, Thomas N. (1853–1922)
"Marce Chan" 248
In Ole Virginia 248
- Painter, William (ca. 1540–94): *The Palace of Pleasure* 703
- Paiva, Manoel de Oliveira (1861–92): *Dona Guidinha Do Poço* 569
- Pak, Mikhail (b. 1949) 465
- Pak Chiwŏn (1737–1805) 462
- Pak Kyungni (1926–2008): *T'oji* 464
- Pak Min'gyu (b. 1968) 464
- Pak T'aewŏn (b. 1909) 463
- Pak Wansŏ (b. 1931) 464
- Palacio, Pablo (1906–47) 50

- Palazzeschi, Aldo (1885–1974): *Il codice di Perelà* 436
- Pallavicino, Ferrante (1615–44) 433
Il corriero svaligiato 289
- Palou, Pedro Ángel (b. 1966) 515
- Pampoudi, Pavlina (b. 1949) 767
- Pamuk, Orhan (b. 1952) 823
Benim Adım Kırmızı 826
Beyaz Kale 826
- Panaeva, Avdotya (ca. 1819–93) 711
- Panneton, Philippe: *see* Ringuet
- Panselinos, Alexis (b. 1943) 768
- Pardo Bazán, Emilia (1851–1921)
La cuestión palpitante 405
La madre naturaleza 405
Los pazos de Ulloa 405
- Paredes, Américo (1915–99): *George Washington Gómez* 468
- Pareja, Miguel Donoso (b. 1931) 51
- Paretsky, Sara (b. 1947) 245
- Parker, Gilbert (1860–1932) 138
The Seats of the Mighty 138
- Parsipur, Shahrnush (b. 1946)
Sanan Bedun-e Mardan 431–2
Tuba va Manayi Shab 431
- Pascal, Blaise (1623–62) 90, 310
- Pasolini, Pier Paolo (1922–75) 436–7
Petrolio 437
Ragazzi di vita 437
Una vita violenta 437
- Pasternak, Boris (1890–1960): *Doktor Zhivago* 718, 723
- Pater, Walter (1839–94) 209
Marius the Epicurean 532
- Paton, Alan (1903–88): *Cry, the Beloved Country* 770, 771
- Paukštelis, Juozas (1899–1981): *The First Years* 90
- Paulinus of Pella (b. ca. 376): *Eucharisticus* 287
- Pavese, Cesare (1908–50)
La casa in collina 436
La luna e i falò 436
Paesi tuoi 436
- Pavić, Milorad (1930–2009): *Hazarski rečnik* 767
- Pavlović, Živojin (1933–98): *Zadah tela* 766
- Pax, Salam, *The Baghdad Blog* 484
- Paz, Octavio (1914–98) 517
- Pei Songzhi (372–451 CE): *Commentary on Sanguo zhi* 24
- Pekar, Harvey (1939–2010): *American Splendor* 485
- Pekić, Borislav (1931–92)
Atlantida 766
Besnilo 766
Kako upokojiti vampira 766
1999 766
- Pelečiš, Aleksandrs (1920–95) 92
Siberia Book 92
- Pelevin, Viktor (b. 1962) 716
Chapaev i Pustota 725
Generation P 725
Zhizn' nasekomykh 725
- Pelser, Chris (b. 1943) 777
- Peña, Terri de la (b. 1947) 469
- Pentzikis, Nikos Gavrii (1908–92): *O pethamemos kai i anastasi* 764
- Pepetela (b. 1941): *Mayombe* 779
- Peralta, José María (1873–1944): *Doctor Gonorreitigorea* 161
- Percy, Walker (1916–90) 513
- Perec, Georges (1936–82) 343
Les Choses 343
La Vie mode d'emploi 344
- Péret, Benjamin (1899–1959): *Mort aux vaches et au champ d'honneur* 809
- Peretz, Isaac Leib (1852–1915) 859
- Pérez, Loida Maritsa (b. 1963): *Geographies of Home* 471
- Pérez, Luis (1904–62): *El Coyote* 468
- Pérez de Ayala, Ramón (1880–1962): *Belarmino y Apolonio* 405
- Pérez Galdós, Benito (1843–1920)
La cuestión palpitante 568
Fortunata y Jacinta 403
Marianela 403
Los pazos de Ulloa 568
La Tribuna 568
- Peri Rossi, Cristina (b. 1941) 780
Nave de los locos 790
- Perron, Edgar du (1899–1940): *Het land van herkomst* 495
- Pestana, Arthur Carlos: *see* Pepetela
- Peteni, Randall Langa (b. 1915) 775
- Petersen, Sydney Vernon (1914–87): *As die son ondergaan* 776
- Petković, Radoslav (b. 1953): *Sudbina i komentari* 767
- Petronius Arbiter, Gaius (d. 66 CE) 201
Satyricon 156, 284, 603
Satyrika 35, 44
- Petrov, Yevgeni (1903–42) 88
Dvenadtsat' stul'ev 720
Zolotoi telenok 720
- Petrović, Rastko (1898–1949):
Dan šesti 764

- Petrushevskaja, Luidmila (b. 1938): *Vremia-noch* 725
- Petry, Ann (1908–97)
Country Place 15
The Narrows 15
The Street 15, 571
- Pham Thi Hoài- (b. 1960) 760
- Phelps, Elizabeth Stuart (1844–1911)
The Gates are Ajar 833
The Silent Partner 741
- Phillips, Jayne Anne (b. 1952) 666
- Phiri, Gideon (b. 1942) 779
- Piercy, Marge (b. 1932) 729
- Piglia, Ricardo (b. 1941): *Respiración artificial* 789
- Pilniak, Boris (1894–1938): *Golyi god* 719
- Piñera, Virgilio (1912–79): *La carne de René* 147
- Pinkerton, Allan (1819–84) 243
- Pinõn, Nélida (b. 1936) 104
A república dos sonhos 104
- Pinski, David (1872–1959) 859
- Pinto, Fernão Mendes (1510–83):
Peregrinação 402
- Pirandello, Luigi (1867–1936)
Il Fu Mattia Pascal 435
Uno, nessuno e centomila 435
- Pirzad, Zoya (b. 1952)
Aadat Mikonim 432
Chragha ra Man Khamush Mikonam 432
- Pisemsky, Aleksei (1821–81) 710–11
Vzbolomuchennoe more 712
- Pišťanek, Peter (b. 1960) 169
- Plaatje, Solomon T. (1876–1932): *Mhudi* 770
- Plath, Sylvia (1932–63) 483
- Plato (ca. 428–347 BCE) 39
 genre 354
 on poets 227, 302, 303
Republic 160, 354, 534, 538–9, 801, 802
 on rhetoric 693
 space 792
- Platonov, Andrei (1899–1951) 723, 727
Chevengur 720
Kotlovan 720
- Plomer, William (1903–73): *Turbott Wolfe* 771
- Plotinus (205–70 CE) 46
- Plutarch (46–119) 23
- Poe, Edgar Allan (1809–49) 243–4, 689, 690
The Fall of the House of Usher 654
 “The Murders in the Rue Morgue” 241
 “The Mystery of Marie Roget” 243
 “The Purloined Letter” 243
- Pohl, Frederick (b. 1919): *The Space Merchants* 728
- Poláček, Karel (1892–1944) 168
- Politis, Kosmas (1888–1974)
Eroica 764
Lemonodasos 764
Stou Hatzifrangou 766
- Poljanski, Branko Ve (b. 1898): *77 samoubica* 763
- Pollarolo, Giovanna (b. 1952) 51
- Polo, Marco (1254–1324) 46–7
- Pompéia, Raul (1863–95): *O ateneu* 569
- Ponce, Juan García (1932–2003) 518
- Poniatowska, Elena (b. 1933)
Hasta no verte, Jesús mío 518
La noche de Tlatelolco 518
Recuerdos del porvenir 518
- Pope, Alexander (1688–1744) 76, 354
- Porcel, Baltasar (1937–2009): *Les primaveres i les tardors* 411
- Poruks, Jānis (1871–1911) 92
- Potocki, Jan (1761–1815): *The Manuscript Found in Saragossa* 25, 329
- Pound, Ezra (1885–1972) 156
- Powell, Anthony (1905–2000): *A Dance to the Music of Time* 129
- Powers, Richard (b. 1957)
Gain 848
Plowing the Dark 848
- Powys, John Cowper (1872–1963): *Porius* 385
- Pramoedya Ananta Toer (1925–2006) 754
Anak Semua Bangsa 754
Bumi Manusia 754
Jejak Langkah 754
Rumah Kaca 754
- Pressburger, Emeric (1902–88) 6
- Prévost d’Exiles, Antoine-François (1697–1763) 325
Le Doyen de Killerine 326
Histoire de M. Cleveland 326
Histoire d’une Grecque moderne 326
Manon Lescaut 224, 326, 334
Mémoires et aventures d’un homme de qualité 326
Le Philosophe anglais 383
Pour et contre 224, 326
- Price-Mars, Jean (1876–1969) 346
- Prime-Stevenson, Edward (1858–1942): *Imre* 644
- Proctor, Rajah (1921–93) 748
- Proulx, Annie (b. 1935) 848
- Proust, Marcel (1871–1922) 158, 341
 on critics 610
 death and resurrection theme 194
 and Dostoyevsky 634
 Frye on 527

- Proust, Marcel (1871–1922) (*Continued*)
 inner consciousness 232
 modernism 394
 sexuality 742
 Shattuck on 699
 subjective point of view 543–4
 time/space 792
 translations of 700
 works
À la recherche du temps perdu 196, 278, 306,
 341, 494, 513, 521, 609, 636, 700
Le Côté de Guermantes 699
Sodomie et Gomorrhe 644
Le temps retrouvé 278
- Prudentius (348–405), *Psychomachia* 287
- Puig, Manuel (1932–90) 780
El beso de la mujer araña 252, 322, 789
La traición de Rita Hayworth 789
- Pullman, Philip (b. 1946) 728
His Dark Materials trilogy 7
- Purdy, James (1923–2009) 646
- Pushkin, Aleksandr Sergeyevich (1799–
 1837) 707–8
Evgenii Onegin 708
Kapitanskaya dochka 708
 “Southern poems” 707
- Pynchon, Thomas (b. 1937) 729
The Crying of Lot 49 638, 848
Against the Day 606
Gravity’s Rainbow 606, 638, 848
Mason & Dixon 606, 848
V 606
- al-Qa’id, Yusuf (b. 1944) 63
- al-Qasatili, Numan Abduh (1854–1920) 574
- Qian Zhongshu (1910–98): *Weicheng* 182
- Qióng Yao (b. 1938)
Chuangwai 187
Tingyan shenshen 187
- Qu Bo (b. 1923): *Linhai xueyuan* 183
- Qu Yuan (ca. 339–287 BCE) 23
- Queneau, Raymond (1903–77) 342
Le Chiendent 342, 810
Les Fleurs bleues 344
- Quevedo y Villegas, Francisco Gómez de
 (1580–1645): *El buscón* 105, 402, 617
- Quincey, Thomas de (1785–1859): *Confessions of an
 English Opium Eater* 427
- Quintilian (35–ca. 96 CE) 282–4
Institutio Oratoria 282
- Quintus Smyrnaeus (3rd cent.):
Posthomerica 287
- Quiroga, Juan Facundo (1788–1835) 254
- Quiroga Santa Cruz, Marcelo (1931–80) 51
- Rabelais, François (ca. 1494–ca. 1553) 83, 84, 674
Gargantua and Pantagruel 156, 602
Tiers livre 195
- Rabi’, Mubarak (b. 1935) 576
- Rabie, Jan (1920–2002): *Ons, die Afgod* 776
- Rabinovitsh, Sholem: *see* Aleichem, Sholem
- Rachilde (1860–1953)
La Jongleuse 219–20
Monsieur Venus 219–20
- Radcliffe, Ann (1764–1823) 120, 370
The Italian 372
The Mysteries of Udolpho 242,
 370, 372
- Radichkov, Yordan (1929–2004)
Noev kovcheg 767
Vsichki i nikoi 767
- Radishchev, Aleksandr (1749–1802) 706–7
Puteshestvie iz Peterburga v Moskvu 706–7
- Radzevičius, Bronius (1940–80) 90
- al-Rahib, Hani (b. 1939) 62
Alf laylah wa laylatan 64
- Rahmani, Zahia (b. 1962) 580
- Raleigh, Eve (1903–78): *Caballero* 467
- Ramírez, Sergio (b. 1942)
Margarita, está linda la mar 163
Te dio miedo la sangre 163
- Ramos, Graciliano (1892–1953) 104, 105
São Bernardo 99
Vidas secas 98
- Rampan, Korrie Layun (b. 1953): *Api, Awan,
 Asap* 753
- Randau, Robert (1873–1950) 578
- Rao, Raja (1908–2006)
The Chessmaster and His Moves 611
Kanthapura 127–8, 744–5, 746
The Serpent and the Rope 611, 745, 746
- Rasputin, Valentin (b. 1937): *Zhivi i pomni* 722
- Ravanipur, Muniru (b. 1954) 431, 432
Del-e Fulad 432
- Read, Martha (1773–1816) *Monima, or the Beggar
 Girl* 688
- Reade, Charles (1814–84) 457
- Réage, Pauline (1907–98): *The Story of O* 159
- Rechy, John (b. 1934)
City of Night 159, 469, 742
The Miraculous Day of Amalia Gómez 469
Numbers 469
- Reed, Ishmael (b. 1938) 17
Flight to Canada 17

- The Free-Lance Pallbearers* 17
The Last Days of Louisiana Red 17
Mumbo Jumbo 14, 847
 Reeve, Clara (1729–1807) 388
 Progress of Romance 227, 228, 704
 Reid, V. S. (1913–87): *New Day* 249
 Reinoso, Osvaldo (b. 1932) 51
 Remarque, Erich Maria (1898–1970) 158
 Remizov, Aleksei (1877–1957): *Prud* 717
 Rétif de la Bretonne, Nicolas-Edme (1734–1806)
 Le Paysan perversi 330
 La Paysanne perversie 330
 Reve, Gerard (1923–2006): *De avonden* 496
 Révéroni Saint-Cyr, Antoine (1767–1829):
 Pauliska 330
 Revueltas, José (1914–76)
 Los días terrenales 517
 El luto humano 517
 Rey Rosa, Rodrigo (b. 1958)
 Piedras encantadas 164
 Que me maten si... 164
 Reymont, Władysław Stanisław (1867–1925) 167
 Reynolds, George (1814–72) 243
 Rhys, Jean (1890–1979)
 After Leaving Mr. McKenzie 150
 Good Morning, Midnight 150
 Quartet 150
 Voyage in the Dark 126, 150
 Wide Sargasso Sea 1–2, 3, 8, 130, 150, 249, 297
 Ribeiro, Júlio (1845–90) 569
 A carne 569
 Ricardou, Jean (b. 1932) 343
 Riccoboni, Marie (1713–92) 325, 327
 Richards, Alun (b. 1929): *Home to an Empty House* 130
 Richards, David Adams (b. 1950)
 The Lost Highway 144
 Nights Below Station Street 144
 Richardson, Dorothy (1873–1957) 644
 Pilgrimage 125, 521, 636, 645
 Richardson, John (1796–1852) 135
 Wacousta 135–6, 137
 Richardson, Samuel (1689–1761) 226, 232
 editing of 272
 epistolary novels 290, 328
 French translations 325
 Hazlitt on 229
 as influence 47, 267, 491
 moral benefits 198
 origins of novel 387
 as printer 830
 Russian translations 706
 Watt on 232
 works
 Clarissa 110, 203, 227, 290, 325, 328, 491, 532, 601, 622, 672, 706, 740
 Pamela 108–9, 195, 227, 236, 261, 290, 328, 491, 622, 656, 691, 704, 706
 Sir Charles Grandison 114, 238–9, 290, 325
 Richler, Mordecai (1931–2001)
 The Apprenticeship of Duddy Kravitz 141
 Son of a Smaller Hero 141
 Richter, Hans Werner (1908–93) 366
 Richter, Jean Paul (1763–1821) 492
 Ridder, Alphonse de: *see* Elsschot, Willem
 Rihani, Ameen (1876–1940) 63
 Riis, Jacob (1849–1914) 459
 Rilke, Rainer Maria (1875–1926) 544
 Die Aufzeichnungen des Malte Laurids Brigge 365, 699
 Ringuet (1895–1960): *Trente arpentes* 141, 143
 Ríos, Isabella (b. 1948): *Victuum* 468
 Ristić, Marko (1902–84): *Bez mere* 763
 Ristikivi, Karl (1912–77): *Soul's Night* 89
 Rivas, Manuel (b. 1957): *O lapis do carpinteiro* 412
 Rivera, Edward (1939–2001): *Family Installments* 470
 Rivera, José Eustasio (1888–1928) 671
 Rivera, Tomás (1935–84): *... y no se lo tragó la tierra* 468
 Rivero, Giovanna (b. 1972) 51
 Rizal, José (1861–96) 752
 El Filibusterismo 751
 Noli Me Tangere 751
 al-Rizgi, Al-Sadiq 575
 Al-Sahira al-Tounisiyya 574
 Rizik, Marisela (b. 1957): *Of Forgotten Times* 471
 Roa Bastos, Augusto (1917–2005) 254, 780
 Hijo de hombre 787
 Yo el Supremo 254, 787
 Robbe-Grillet, Alain (1922–2008)
 Dans le labyrinthe 538
 Les Gommès 528
 La Jalousie 240, 343, 558
 Pour un nouveau roman 343
 Roberts, Charles G. D. (1860–1943) 139
 Roberts, Theodore Goodridge (1877–1953)
 The Harbour Master 139
 The Red Feathers 139
 Robin, Régine (b. 1939) 143
 La Québécoite 136
 Robinson, Kim Stanley (b. 1952) 728, 729

- Robleto, Hernán (1892–1971): *Sangre del trópico* 162
- Rocha Monroy, Ramón (b. 1950): *Potosí 1600* 51
- Roche, Mazo de la (1879–1961): *Jalna* series 140
- Rodoreda, Mercè (1963–2001)
- Mirall trencat* 408
 - La mort i la primavera* 408
 - La plaça del Diamant* 407–8
 - Quanta, quanta guerra* 408
- Rodríguez, Abraham, Jr. (b. 1961):
- Spidertown* 470
- Rodríguez de Montalvo, Garci (fl. 1500)
- Amadís de Gaula* 701–2
 - Las sergas de Esplandían* 401
- Roelants, Maurice (1895–1966): *Komen en gaan* 493
- Roesli, Marah (1889–1968): *Sitti Noerbaja* 751
- Rohani Din (b. 1953) 756
- Rohmer, Sax (1883–1959) 759
- Rojas, Fernando de (ca. 1465–1541): *La Celestina* 617
- Rolfe, Edwin (1909–54) 845
- Rolfe, Frederick (1860–1913)
- The Desire and Pursuit of the Whole* 126
 - Hadrian the Seventh* 644
- Romero, José Rubén (1890–1952): *La vida inútil de Pito Pérez* 620
- Romo, Ito (b. 1961): *El Puente* 469
- Roncagliolo, Santiago (b. 1975) 51
- Rosario, Nelly (b. 1972): *Song of the Water Saints* 471
- Rosen, Jonathan (b. 1963)
- Eve's Apple* 455
 - Joy Comes in the Morning* 455
- Rosenfarb, Chava (b. 1923) 860
- Rosenfeld, Isaac (1918–56): *The Passage From Home* 452
- Rossi, Anacristina (b. 1952)
- Limón Blues* 164
 - La loca de la Gandoca* 164
- Roth, Henry (1906–95): *Call It Sleep* 452, 845
- Roth, Philip (b. 1933) 252, 280, 451, 742
- American Pastoral* 454
 - Anatomy Lesson* 454
 - The Counterlife* 454
 - Everyman* 454
 - Exit Ghost* 454
 - The Ghost Writer* 454
 - Goodbye, Columbus* 453
 - Letting Go* 453
 - My Life as a Man* 453
 - Operation Shylock* 454
- The Plot Against America* 454
 - Portnoy's Complaint* 453
 - The Prague Orgy* 454
 - Sabbath's Theater* 454
 - Zuckerman Unbound* 454
- Roubard, Jacques (b. 1932): *Hortense* 344
- Roumain, Jacques (1907–44): *Gouverneurs de la rosée* 151–2
- Rousseau, Edmond (ca. 1850–1909): *Les Exploits d'Iberville* 139
- Rousseau, Jean-Jacques (1712–78) 89, 155, 325
- on Augustine 513
 - as influence 491, 542
 - Romanticism 331
 - Russian translations 706
 - works
 - Les Confessions* 483
 - Émile* 331, 430, 607
 - Julie, ou La Nouvelle Héloïse* 195, 203, 224, 291, 328, 329, 606–7, 706
- Rowling, J. K. (b. 1965) 728
- Harry Potter* series 159–60, 683, 705
- Rowson, Susannah (ca. 1762–1824) 263
- Charlotte Temple* 266, 739
- Roy, Arundhati (b. 1961) 125, 133, 821
- The God of Small Things* 257, 747, 748
- Roy, Gabrielle (1909–83) 135
- Bonheur d'occasion* 141
- Rucker, Rudy (b. 1946) 729
- Rudan, Vedrana (b. 1949) 768
- Ruffato, Luiz (b. 1961) 99
- Ruhumbika, Gabriel (b. 1938) 270
- Rulfo, Juan (1917–86) 666
- Pedro Páramo* 255, 517
- Rupainis, Antons (1906–76) 92
- Rushdie, Salman (b. 1947) 56, 130–1, 216, 385, 503, 747, 748
- Midnight's Children* 514, 606, 747
 - The Satanic Verses* 131, 154, 300, 557, 675
- Russ, Joanna (b. 1937) 729
- Russell, James (b. ca. 1800): *Matilda* 137
- Russo, Richard (b. 1949) 848
- Rybakov, Anatoly (1911–98)
- Deti Arbata* 724
 - Tiazhelyi pesok* 724
- Sábato, Ernesto (b. 1911) 503
- Abaddón, el exterminador* 786
 - Sobre heroes y tumbas* 786
 - El túnel* 786
- al-Sadaawi, Nawal (b. 1931) 63, 64
- al-Sa'dawi, Abdelaziz 576

- Sade, Donatien, Marquis de (1740–1814) 154,
156, 331
Aline et Valcour 608
Les 120 Journées de Sodome 330
Les Crimes de l'amour 330
Juliette 330
Justine 330
La Philosophie dans le boudoir 330
- Sa'di (ca. 1213–91): *Golestan* 428–9
- Sadouni, Brahim (b. 1942) 580
- Saer, Juan José (1937–2005) 63, 504
- Safadi, Muta' (b. 1929) 62
- Şafak, Elif (b. 1971) 826
- Safi, Peyami (1899–1961) 824
- Sagarra, Josep Maria de (1894–1961): *Vida privada* 406
- al-Sa'id, Aminah (1914–95) 64
- Saikaku, Ihara (1642–92) 596
- Sáinz, Gustavo (b. 1940): *Gazapo* 518
- Salas Barbadillo, Alonso Jerónimo de (ca. 1581–1635): *La hija de Celestina* 617
- Salazar, Ramón A. (1852–1914): *Conflictos* 161
- Salazar Arrué, Salvador (Salarrué) (1899–1975): *El Cristo Negro* 161
- Saleh, Nabil A. (b. 1935) 63
- Salem, Salwa (1940–92) 63
- Salimi, al-Habib 577
- Sales, Joan (1912–83): *Incerta gloria* 407
- Šalgo, Judita (1941–96): *Put u Birobidžan* 767
- Salih, Tayeb (1929–2009) 63, 64
Mawsim al-Hijra ila al-shamal 61
- Salinger, J. D. (1919–2010) 159
Catcher in the Rye 240, 486, 561
- Sallust (86–34 BCE) 382
- Saltykov-Shchedrin, Mikhail (1826–89): *Gospoda Golovlyovy* 715
- Samarkis, Andonis (1919–2003): *To Lathos* 767
- Sami, Şemsettin (1850–1904): *Taaşuk-i Talât ve Fitnat* 822
- Samkange, Stanlake (b. 1922) 269
The Mourned One 778
On Trial for My Country 778
Year of the Uprising 778
- al-Samman, Ghadah (b. 1942) 62, 64
- Sammy Mackfoy, Pierre (b. 1935) 269
- Samper, Soledad Acosta de (1833–1913): *Los Piratas de Cartagena* 509
- San Pedro, Diego de (fl. 1500): *Cárcel de amor* 401
- Sánchez, Luis Rafael (b. 1936): *La guaracha del Macho Camacho* 149–50
- Sand, George (1804–76)
Indiana 333
Lélia 333
- Sandel, Cora (1880–1974)
Alberte og friheten 584
Alberte og Jakob 584
Bare Alberte 584
- Sandler, Boris (b. 1950) 860
- Sanghadāsa 31
- Sani, Parinush (b. 1949) 432
- al-Sani', Raja' (b. 1981) 63, 64
- Sannazzaro, Jacopo (1456–1530): *Arcadia* 703
- Sansay, Leonora (b. 1781) 263
Secret History 264–6
- Santayana, George (1863–1952): *The Last Puritan* 646
- Santiago, Esmeralda (b. 1948): *When I Was Puerto Rican* 470
- Santiago, Soledad: *Streets of Fire* 737
- Santos, Bienvenido N. (1911–96) 753
The Praying Man 753
- Santos, Lope K. (1879–1963): *Banaag at Sikat* 756
- Saramago, José (1922–2010) 250
O Ano da Morte de Ricardo Reis 409
Todos os nomes 409–10
- Sarduy, Severo (1937–93) 148
Cobra 148
Cocuyo 148
Colibrí 148
De donde son los cantantes 148
Gestos 148
Maitreya 148
Pájaros en la playa 148
- Sarkis, Yusuf (1856–ca. 1932) 60
- Sarmiento, Domingo Faustino (1811–88):
Facundo 254
- Sarraute, Nathalie (1900–1999) 252, 343
Enfance 513
L'Ère du soupçon 340
- Sarruf, Ya'qub (1852–1927) 60
- Sartre, Jean-Paul (1905–80) 495, 634
La Nausée 496, 607
- Satrapi, Marjane (b. 1969): *Persepolis* 376, 485
- Satthianadhan, Krupabai (1862–94): *Kamala* 125
- Saunders, Margaret Marshall (1861–1947):
Beautiful Joe 139
- Savard, Félix-Antoine (1896–1982): *Menaud Maître-Draveur* 139
- Savoy, Willard (1916–76) 16
- Sayers, Dorothy L. (1893–1957) 244
- Scarron, Paul (1610–60): *Roman comique* 324
- Schami, Rafik (b. 1946) 63, 368

- Schiller, Friedrich von (1759–1805) 93
Wallenstein 202
- Schindel, Robert (b. 1944) 369
- Schlegel, Friedrich (1772–1829) 363
Lucinde 608
- Schneider, Isidor (1896–1977): *From the Kingdom of Necessity* 452
- Schnitzler, Arthur (1862–1931) 158
Fräulein Elsa 365
Leutnant Gustl 365
- Schoeman, Karel (b. 1939)
By fakkellig 777
Die hemeltuin 777
Hierdie lewe 777
Na die geliefde land 777
Die uur van die engel 777
Verliesfontein 777
- Schrag, Ariel (b. 1979): *Potential* 743
- Schreiner, Olive (1855–1920)
From Man to Man 770
The Story of an African Farm 770
Trooper Pertr Halket of Mashonaland 770
Undine 770
- Schulz, Bruno (1892–1942) 168
- Schuyler, George (1895–1977): *Black No More* 13
- Schwartz, Delmore (1913–66): *The World is a Wedding* 451
- Schwarz-Bart, Simone (b. 1938) 346
- Scorza, Manuel (1928–83) 51
- Scott, Walter (1771–1832) 383–5
 American reprints 678
 on Austen 624
 baronetcy 118
 Buzard on 56
 editing of 272
 in *Encyclopaedia Britannica* 390
 historical fiction 119, 120, 333
 illustrated editions 418, 421
 imitators of 835
 as influence 54, 135, 137, 161, 228, 267, 403, 491, 835
 Lukács on 505
 national novel 228
 novel's history 392
 as reviewer 690, 691
 romances 704
 translations 60, 384
 works
The Bride of Lammermoor 120
The Heart of Midlothian 120
- Rob Roy* 421
Waverley 120, 370, 383–4, 475, 670
- Scudéry, Georges de (1601–67) 222
- Scudéry, Madeleine de (1607–1701) 81, 222, 391
Artamène 106, 382, 703
Clélie 222
Ibrahim 222, 703
- Sealy, Allan (b. 1951): *The Trotter-Nama* 747
- Sebald, Winfried Georg (1944–2001) 362
Austerlitz 367–8
- Sebbar, Leila (b. 1941) 579, 580
- Sebold, Alice (b. 1963): *Lovely Bones* 133
- Sebti, Youssef (1943–93) 579
- Seddik Ben El-Outa (fl. 1898–1914) 578
- Sedgwick, Catharine Maria (1789–1867) 836
Hope Leslie 835–6, 837
- Sekulić, Isidora (1877–1958): *Đakon Bogorodičine crkve* 763
- Sekyi, Kobina (1892–1956): *The Anglo-Fanti* 853
- Selby, Hubert, Jr. (1928–2004): *Last Exit to Brooklyn* 159
- Self, Will (b. 1961): *Dorian* 5
- Seligmann, Rafael (b. 1947) 369
- Selimović, Meša (1910–82): *Derviš i smrt* 766
- Selvadurai, Shyam (b. 1965): *Funny Boy* 143, 749
- Selvon, Samuel (1923–94): *The Lonely Londoners* 129
- Sembène, Ousmane (1923–2007): *Les Bouts de Bois de Dieu* 385
- Semprún, Jorge (b. 1923)
L'écriture ou la vie 410
Le grand voyage 410
Quel beau dimanche 410
- Sénac de Meilhan, Gabriel (1736–1803)
L'Émigré 330
Mémoires d'Anne de Gonzague 330
- Senancour, Étienne Pivert de (1770–1846):
Obermann 332
- Şenler, Şule Yüksel (b. 1938) 825
- Şenocak, Zafer (b. 1961) 368
- al-Senussi, Zine al-'Abidine 574
- Sepamla, Siphon (b. 1932): *A Ride on the Whirlwind* 772
- Serafimovich, Aleksandr (1863–1949): *Zheleznyi potok* 721
- Serageldin, Samia 63
- Serote, Mongane Wally (b. 1944): *To Every Birth Its Blood* 772
- Seth, Vikram (b. 1952) 747
The Golden Gate 537

- Settle, Elkanah (1648–1724): *The Complete Memoirs of the Life of that Notorious Impostor Will Morell* 106
- Seyfettin, Ömer (1884–1920) 824
- Sezai, Samipaşazade (1850–93) 823
- Shabtai, Yaakov (1934–81) 381
- Shadid, Bishara (fl. 1871) 60
- Shaghmoum, Al-Miloudi (b. 1943) 577
- Shaginian, Marietta (1888–1982)
Gidrotsentral 721
Mess-Mend, ili Ianki v Petrograde 719
- Shahnon Ahmad (b. 1933): *Rentong* 752
- Shakespeare, William (1564–1616) 1
adaptations 1, 8–9
Bowdlerized 154
characters 232
memory 511
mythology 527
reprints 677
romances 704
works
Antony and Cleopatra 233
As You Like It 9
Hamlet 4, 5, 9, 170–1, 511
Henry V 511
King Lear 4, 207, 511
Macbeth 171, 511
Othello 511
The Tempest 2, 5, 9
Two Gentlemen of Verona 407
A Winter's Tale 203
- Shammas, Anton (b. 1950) 63
- Shamsie, Kamil (b. 1973): *Kartography* 750
- Shanower, Eric (b. 1963): *Age of Bronze* 377
- Sharma, S. S. (b. 1942) 756
- al-Sharqawi, 'Abd al-Rahman (1920–87) 63
- al-Shaykh, Hanan (b. 1945) 62, 64
Hikayat Zahrah 64
- Sheldon, Alice: see Tiptree, James, Jr.
- Shelley, Mary (1797–1851) 272, 295, 691
Frankenstein 120, 255, 297, 323, 372–3
- Sheridan, Frances (1724–66): *Memoirs of Miss Sidney Biddulph* 112
- al-Sherif, Hammouda Karim 576
- Shi Nai'an (ca. 1290–1365)
Shuihu zhuan 15, 19, 20, 25, 27, 179, 187, 203, 461, 596
- al-Shidyaaq, Ahmad Faris (1804?–87) 59–60, 574
Al-Saq ala al-saq 573
- Shiel, M. P. (1865–1947): *Shapes in the Fire* 220
- Shields, Carol (1935–2003)
The Stone Diaries 144
- Swann 144
Unless 144
- Sholokhov, Mikhail (1905–84): *Tikhii Don* 721
- Shōnagon, Sei (ca. 966–ca.1025): *Makura no Soshi* 596
- Shōyō, Tsubouchi 390
- Shteyngart, Gary (b. 1972)
Absurdistan 455
The Russian Debutante's Handbook 454
- Shukri, Muhammad (1935–2003) 63
- Siburapha (1905–74): *Songkhram chiwit* 759
- Sidhwa, Bapsi (b. 1938)
Cracking India 746–7
Ice-Candy Man 747, 749–50
- Sidney, Philip (1544–86)
Arcadia 106
The Countess of Pembroke's Arcadia 702–3
Defense of Poesie 702
- Sienkiewicz, Henryk (1846–1916) 166, 717
- Sila, Abdulai (b. 1958): *Eterna Paixão* 856
- Silius Italicus (26–102 CE) 281
- Silko, Leslie Marmon (b. 1948)
Almanac of the Dead 849
Ceremony 794
- Silone, Ignazio (1900–1978): *Fontamara* 436
- Silverberg, Robert (b. 1935) 729
- Sima Qian (145–ca. 90 BCE) 21
Shi ji (Historical Records) 21–4
- Simenon, Georges (1903–89) 245
- Simms, William Gilmore (1806–70) 740, 835
- Sinán, Rogelio (1904–94) 162–3
- Şinasi, Ibrahim (1847–1914) 823
- Sinclair, May (1863–1946) 636–7
- Sinclair, Upton (1878–1968): *The Jungle* 457, 842
- Singer, I. B. (1904–91) 451, 860
- Singer, I. J. (1893–1944) 859, 860
- Singh, Khushwant (b. 1915): *Train to Pakistan* 746
- Sinxo, Guybon Bundlwana (1902–62)
Umfundisi wase-Mthuwqasi 774
Umzali Wolahleko 774
UNomsa 774
- Sinyangwe, Binwell (b. 1956) 779
- Siregar, Merari (1896–1941): *Azab dan Sengsara* 751
- Sivanandan, A. (b. 1923): *When Memory Dies* 749
- Skalb, Kärllis (1879–1945) 92
- Skarimbias, Yannis (1893–1984): *To solo tou Figaro* 764
- Skassis, Thomas (b. 1953) 767
- Skema, Antanas (1910–61): *Isaac* 91

- Skorina, Francis (1486–ca. 1540) 89
- Skram, Amalie (1846–1905) 582
- Škvorecký, Josef (b. 1924) 168
- Slauerhoff, J. J. (1898–1936): *Het verboden rijk* 494
- Slesinger, Tess (1905–45): *The Unpossessed* 452, 845
- Sloboda, Rudolf (1938–95) 169
- Smiley, Jane (b. 1949)
Ten Days in the Hills 4
A Thousand Acres 4
- Smith, Betty (1896–1972) 666
- Smith, Cordwainer (1913–66) 728
- Smith, E. E. “Doc” (1890–1965) 728
- Smith, Jeff (b. 1960): *Bone* 378
- Smith, Wilbur (b. 1933): *When the Lion Feeds* 770
- Smith, William Gardner (1927–74) 16
- Smith, Zadie (b. 1975)
On Beauty 5
White Teeth 131, 133, 151
- Smollett, Tobias (1721–71) 177, 228, 229, 272
The Expedition of Humphrey Clinker 111
Humphrey Clinker 604
The Life and Adventures of Sir Launcelot Greaves 731
Peregrine Pickle 111
Roderick Random 111, 604, 620
- Soce, Ousmane (1911–74)
Karim 854
Mirages de Paris 854
- Socrates (ca. 470–399 BCE) 354–5, 483
- Soddhala (ca. 11th cent.): *Udayasundarikatha* 34
- Sofronieva, Tzveta (b. 1963) 369
- Soga, Tiyo (1829–71): *uHambo Lomhambi* 773
- Sokolov, Sasha (b. 1943) 724
Shkola dlia durakov 724
- Soldán, Edmundo Paz (b. 1967) 51
El delirio de Turing 48
- Sologub, Fedor (1863–1927): *Melki bes* 717–18
- Solórzano, Castillo 619
- Solzhenitsyn, Aleksandr (1918–2008)
Arhipelag Gulag 723
editions of 279
V krughe pervom 722
Odin den’ iz zhizni Ivana Denisovicha 722
Rakovyi korpus 722
- Somadeva (fl. 10th cent.) 31
Yashastilakcampu 34
- Somesvara III (r. 1126–38):
Vikramankabhyudaya 33
- Sontani, Utuy Tatang (b. 1920): *Tambera* 754
- Soon Ai-Ling (b. 1949) 756
- Sophocles (ca. 496–409 BCE): 202
Oedipus Rex 242, 539
- Sorel, Charles (ca. 1599–1674): *Histoire comique de Francion* 324
- Sosa, Julio B. (1910–46): *La india dormida* 162
- Sōseki, Natsumi (1867–1916)
Gubijinsō 509
Wagahai wa Neko dearu 605
- Sotiriou, Dido (1909–2004): *Matomena homata* 766
- Soto-Hall, Máximo (1871–1944) 161
- SouEIF, Ahdaf (b. 1950) 64
- al-Souissi, Saleh: *Al-Haifa wa Siraj al-Lail* 574
- Soupault, Philippe (1897–1990)
Les champs magnétiques 809
Les Dernières Nuits de Paris 810
- Southworth, Emma D. E. N. (1819–99)
734, 833
The Discarded Daughter 741
The Hidden Hand 732
Self-Raised 741
- Souza, Márcio (b. 1946) 503
- Soyinka, Wole (b. 1934)
Ake 513
Bacchae of Euripides 201
Season of Anomy 856
- Soysal, Sevgi (1936–76) 825
- Spark, Muriel (1918–2006): *The Prime of Miss Jean Brodie* 130
- Spender, Stephen (1909–95) 129
- Spenser, Edmund (1552–99)
The Faerie Queene 2, 702
- Spiegelman, Art (b. 1948) 378
Maus 376, 377, 485
- Spielhagen, Friedrich (1829–1911): *Beiträge zur Theorie und Technik des Romans* 585
- Spillane, Mickey (1918–2006) 245
- Staël, Madame de (1766–1817): *Corinne ou l’Italie* 333
- Stamatis, Alexis (b. 1960) 768
- Stamatov, Georgi (1869–1942) 763
- Stanevičius, Simonas (1799–1848) 89
- Stanković, Borisav (1876–1927):
Nečista krv 762
- Stapledon, Olaf (1886–1950) 727
- Statius (45–96 CE): *Thebaid* 281
- Stavenhagen, Fritz (1876–1906): *Mudder Mews* 248
- Steffens, Lincoln (1866–1936) 459
- Stein, Gertrude (1874–1946) 843
The Making of Americans 521
Three Lives 521

- Steinbeck, John (1902–68) 159, 666
The Grapes of Wrath 570, 571, 742, 845
Of Mice and Men 7
- Stedhal (1783–1842) 194, 393, 660
Armance 332–3
Racine et Shakespeare 332
Le rouge et le noir 53, 332, 334–5, 341, 634
- Stephens, Ann (1810–86): *Palaces and Prisons* 733
- Stephenson, Neal (b. 1959) 729
- Sterling, Bruce (b. 1954) 729
- Sterne, Laurence (1713–68) 229, 267, 492, 532, 830
Sentimental Journey 113, 486, 689, 700, 706
Tristram Shandy 113, 195, 325, 514, 544, 573, 601, 604, 623, 655, 689, 820, 830
- Stevenson, Robert Louis (1850–94) 123, 272
The Strange Case of Dr. Jekyll and Mr. Hyde 373
- Stifter, Adalbert (1805–68)
Bunte Steine 364
Der Nachsommer 364
- Stockenström, Wilma (b. 1933): *Uitdraai* 776
- Stockley, Cynthia (1883–1936) 269
- Stoddard, Elizabeth (1823–1902): *The Morgesons* 741
- Stoker, Bram (1847–1912): *Dracula* 121, 161, 370–1, 371–2, 373, 626
- Stout, Rex (1886–1975) 244
- Stowe, Harriet Beecher (1811–96)
 dialect 248
 domestic novel 261
 illustrations 422
 Moers on 295
 print runs of 600
 reprints 681
 serialization 731, 732, 734
 works
Dred 686
The Pearl of Orr's Island 670
 “Uncle Lot” 841
Uncle Tom's Cabin 11, 146, 215, 297, 299, 422, 509, 681–2, 689, 731, 734, 835, 839
- Strashimirov, Anton (1872–1937)
Esenmi dni 763
Robi 765
- Streuvels, Stijn (1871–1969) 493
Het leven en de dood in den ast 493
De vlasschaard 493
- Strindberg, August (1849–1912)
I havsbandet 583
Le plaioyer d'un fou 583
- Strugatsky, Arkady (1925–91) 723–4, 729
- Strugatsky, Boris (b. 1933) 723–4, 729
- Sturluson, Snorri (1178–1241) 581
- Styron, William (1925–2006) 272, 513
Lie Down in Darkness 274
The Rebellion of Nat Turner 274
Sophie's Choice 274
- Su Tong (b. 1963)
He'an 185
Mi 185
 “Wives and Concubines” 185
Wode diwang shengya 185
- Subandhu (fl. 6th cent.): *Vasavadatta* 33
- Sue, Eugène (1804–57): *Les Mystères de Paris* 155, 243, 336, 403, 731
- Sui Sin Far: see Eaton, Edith
- Suits, Gustav (1883–1956) 88
- Suleimanov, Olzhas (b. 1936): *Az-i-ia* 722
- Sundman, Per Olof (1922–92) 584
- Supan, Vitomil: *Menuet za kitaro* 765
- Suratman Markasan (b. 1930) 756
- Suri, Manil (b. 1959) 748
- Švantner, František (1912–59) 168
- Svevo, Italo (1861–1928): *La coscienza di Zeno* 435
- Swaartbooi, Victoria Nombulelo Mermaid: *U-Mandisa* 774
- Swift, Graham (b. 1949)
Ever After 9
Last Orders 6
The Waterland 514
- Swift, Jonathan (1667–1745) 325, 483
Gulliver's Travels 107, 602, 603–4, 608
- Syala, Muhammad Farid: *I'tirafatu Insan* 577
- Syrkin, Marie (1899–1989) 451
- Szymborska, Wisława 564
- Tabatabai, Nahid (b. 1958): *Abi va Surati* 432
- Tachtsis, Kostas (1927–88): *To trito stefani* 766
- Tadger, Akli (b. 1954) 580
- Tadjo, Véronique (b. 1955)
Reine Pokou 856
Le Royaume aveugle 856
- Tagore, Rabindranath (1861–1941) 597
- Tahar Ben Jelloun, Abdelmajid (b. 1919) 63, 580
L'enfant de sable 95
Fi al-tufula 576
- Tâhir, Kemal (1910–73): *Devlet Ana* 825
- al-Tahtawi, Rifa'ah Rafi' (1801–73) 60
- Talebof, 'Abd-al-Rahim (1834–1911): *Safinah Talebi* 429–30

- Talev, Dimitŭr (1898–1966): *Samuil* 765
- Tammašaare, Anton Hansen (1878–1940)
Körboja peremees 88–9
Töde ja õigus 88
- Tan, Amy (b. 1952) 528, 849
Joy Luck Club 68–9
- Tan, Hwee Hwee (b. 1974) 757
- Tang Xianzu (1550–1616): *Mudan Ting* 203
- Tanizaki Jun'ichrō (1886–1965) 444
Chijin no ai 446–8
- Tanpınar, Ahmet Hamdi (1901–62): *Huzur* 824
- Tansi, Sony Labou (1947–95) 271
- Tao Qian (365–427): *Soushen houji* 26
- Tarchetti, Igino Ugo (1839–69): *Fosca* 434
- Tardivel, Jules-Paul (1851–1905): *Pour la patrie* 139
- Tarshouna, Muhammad 577
- Tarus, İlhan (1907–67) 825
- Tasso, Torquato (1544–95): *Gerusalemme liberate* 702
- Tawada, Yoko (b. 1960) 368
- Taylor, Jane (b. 1965): *Of Wild Dogs* 772
- Taymur, 'A'ishah (1840–1902): *Nata'ij al-ahwal fi al-aqwal wa al-afal* 60
- al-Tazi, Muhammad Ezzeddine (b. 1948) 577
- Tek, Müfide Ferit (1872–1971) 824
- Tekin, Latife (b. 1957) 826
- Tenney, Tabitha Gilman (1762–1837): *Female Quixotism* 704, 836, 837
- Tepper, Sheri (b. 1929) 729
- Terzakis, Angelos (1907–79)
Desmotes 764
Dihos theo 766
- Tezza, Cristóvão (b. 1952) 99
- Thackeray, William Makepeace (1811–63) 419, 420, 421
 editing of 272
 photographic style 613
 as reviewer 690
 satire 604
 serialized 730, 732
 technological advances 119
 translations 60
 works
Book of Snobs 118
 "A Box of Novels" 733
Catherine 121
Henry Esmond 119
The Newcomes 122, 624
Pendennis 122, 457
Vanity Fair 116, 121, 419, 420, 422, 556, 558, 602, 604
- Tharoor, Shashi (b. 1956) 748
- Thein Pe Myint (1914–78): *Tet Hpon-gyi* 760
- Theotokas, Yorgos (1905–66): *Elefthero pnevma* 764
- Theotokis, Konstantinos (1872–1923): *Oi sklatvoi sta desma tous* 763
- Thomas, Audrey (b. 1935): *Prospero on the Island* 2
- Thomas, Piri (b. 1928): *Down These Mean Streets* 469–70
- Thompson, Craig (b. 1975): *Blankets* 743
- Thompson, George (1804–78) 833
- Thompson, William Tappan (1812–82) 247
- Thorpe, Thomas Bangs (1815–78) 247
- Thucydides (5th cent. BCE) 22, 23
- Thurman, Wallace (1902–34)
The Blacker the Berry 14
Infants of the Spring 14
The Interne 14
- Tieck, Ludwig (1773–1853)
Der Blond Eckbert 364
Franz Sternbalds Wanderungen 364
- Tiempo, Edilberto K. (1913–96): *More Than Conquerors* 754
- Tiptree, James, Jr. (1915–87) 729
- Tlali, Miriam (b.1933)
Amandla! 772
Muriel at Metropolitan 772
- Tlili, Mustapha (b. 1937) 580
- Tobar, Héctor (b. 1963): *The Tattooed Soldier* 472
- Toer, Pramoedya Ananta: *see* Pramoedya Ananta Toer
- Toibín, Colm (b. 1955) 647
The Master 4, 742
- Tokarczuk, Olga (b. 1962) 169
- Tolkien, J. R. R. (1892–1973) 728
The Hobbit 130
The Lord of the Rings 130, 705
- Tolstaia, Tatiana (b.1951): *Kys'* 725
- Tolstoy, Aleksei (1883–1945) 727
Aelita 719
Khozhdenie po mukam trilogy 721
Petr pervyi 721
- Tolstoy, Leo (1828–1910) 505
 Arabic translations 574
 death and resurrection theme 194
 and Dostoyevsky 714–15
 editions of 279
 psychological novel 634
 realism 660, 675
 serialization 732
 works

- Anna Karenina* 7, 203, 527, 543, 715
Detstvo, Otrochestvo, Iunos' 710
The Kreutzer Sonata 158
Voskresenie 715
Voyná i mir 7, 195, 384, 556, 609, 624, 713–14, 820
 Tomasi di Lampedusa, Giuseppe (1896–1957): *Il Gatopardo* 406–7
 Tondelli, Pier Vittorio (1955–91)
 Altri libertini 438
 Camere separate 438
 Toomer, Jean (1894–1967): *Cane* 14
 Topol, Jáchym (b. 1962) 169
 Toptaş, Hasan Ali (b. 1958) 826
 Tormes, Lazarillo de 406
 Torres, Antonio (b. 1940): *Adeus, Velho* 104
 Tournier, Michel (b. 1924): *Friday, or the Other Island* 3, 279
 Toussaint, Jean-Philippe (b. 1957) 344
 L'appareil photo 345
 La Télévision 345
 Tozzi, Federico (1883–1920): *Con gli occhi chiusi* 435
 Traill, Catherine Parr (1802–99): *The Backwoods of Canada* 137
 Trambley, Estela Portillo (1936–99): *Trini* 468
 Tranquilli, Secondino: see Silone, Ignazio
 Trifonov, Yury (1925–81): *Dom na naberezhnoi* 722
 Trilling, Lionel (1905–75) 55
 The Middle of the Journey 452
 Tripitaka (Xuan Zang) 26–7
 Trivikrama (ca. 10th cent.): *Nalachampu* 34
 Trollope, Anthony (1815–82) 122
 James on 628
 realism 660
 reviewed 689
 serialization 732
 technological advances 119
 works
 Autobiography 625
 Barchester Towers 556, 626
 Cousin Henry 215
 The Eustace Diamonds 604
 Framley Parsonage 117
 The Last Chronicle of Barsetshire 733
 Orley Farm 419
 The Warden 457
 The Way We Live Now 121, 604–5
 Trujillo, Carla Mari 469
 Tsirkas, Stratis (1911–80): *Akyvernites politeies* 766
 Tuglas, Friedebert (1886–1971) 88
 Tur, Evgeniia (1815–92) 711
 Turcios, Froylán (1870–1943): *El vampire* 161
 Turgenev, Ivan (1818–83) 660, 711, 713
 Asya 711
 Ottsy i deti 712
 Rudin 711
 Tutuola, Amos (1920–97): *The Palm-Wine Drinkard* 855
 Twain, Mark (1835–1910) 159, 613
 Cambridge University Press editions 217
 on copyright 215
 dialect 247
 illustrations 422
 realism 660
 reprints 681
 serialization 732
 works
 “A Double-Barreled Detective Story” 244
 Huckleberry Finn 7, 155, 159, 236–7, 244, 248, 276, 422, 620, 670, 835, 840, 841
 “The Jumping Frog” 247
 Pudd'nhead Wilson 276, 840
 Roughing It 456
 Tom Sawyer 840
 Tom Sawyer, Detective 244
 Tyler, Royal (1757–1826) 263
 The Algerine Captive 266
 Ubeda, Francisco López de (fl. 1605): *La pícaro Justina* 617
 Ugrešić, Dubravka (b. 1940): *Muzej bezuvjetne predaje* 767
 Uibopuu, Valev (1913–97) 89
 Uitskaia, Liudmila (b. 1943): *Medea i ee deti* 725
 Ūn Hūigyōng (b. 1959) 464
 Unamuno, Miguel de (1864–1936) 405
 Niebla 515
 Del sentimiento trágico de la vida 523
 Undset, Sigrid (1882–1949)
 Husfrue 584
 Korset 584
 Kransen 584
 Updike, John (1932–2009) 690, 742
 The Centaur 528
 Rabbit novels 847
 Urfe, Honoré d' (1567–1625): *L'Astrée* 106
 Urroz, Eloy (b. 1967) 515
 Urzagasti, Jesús (b. 1941) 51
 Uşaklıgil, Halit Ziya (1867–1945)
 Aşk-ı Memnu 822
 Mai ve Siyah 822

- 'Usayran, Layla (b. 1934) 62
'Asafir al-fajr 64
Khat al-afa 64
- Uskoković, Milutin (1884–1915)
Čedomir Ilić 762
Došljaci 762–3
- Uspensky, Gleb (1843–1902) 715
- Uyurkulak, Murat (b. 1972), *Tol* 826, 827
- Vaginov, Konstantin (1899–1934): *Kozlinaia pesn'* 718
- Vakili, Shuhrah, *Shab-I 'Arusi-e Man* 432
- Valdés, Zoé (b. 1959): *La nada cotidiana* 149
- Valencia Assogna, Leonardo (b. 1969) 51
- Valenzuela, Luisa (b. 1938) 780
Aquí pasan cosas raras 790
Cambio de armas 790
La cola de lagartija 789–90
- Valiūnas, Silvestras (1789–1831) 89
- Valjarević, Srđan (b. 1967): *Zimski dnevnik* 768
- Valle-Inclán, Ramon María del (1866–1936)
Los cruzados de la Causa 405–6
Gerifaltes de antaño 406
El resplandor de la hoguera 406
 “Ruedo Ibérico” cycle 406
Sonatas 405
Tirano Banderas 254, 406
- Vallejo, César (1892–1938): *Tungsteno* 49
- Valette, Marguerite Eymery: see Rachilde
- Valmiki (ca. 3rd cent. BCE) 28
- Valtinos, Thanassis (b. 1932) 767
- van den Heever, C. M.
Laat Vrugte 775
Somer 775
- van der Post, Laurens (1906–96): *In a Province* 771
- van Heerden, Etienne (b. 1954): *Toorberg* 777
- van Melle, Johannes 775
- van Niekerk, Marlene
Agaat 777
Triomf 777
- Van Vogt, A. E. (1912–2000) 728
- Varela, Félix (1788–1853): *Jicoténal* 146
- Vargas Llosa, Mario (b. 1936) 515
La casa verde 51
La ciudad y los perros 51
Conversation in the Cathedral 51
La fiesta del chivo 255
Historia de Mayta 302
Lituma en los andes 51
- Vassanji, M. G. (b. 1950): *The Gunny Sack* 143
- Vassilikos, Vassilis (b. 1934) 767
- Vázquez, Javier (b. 1946) 51
- Vázquez Montalbán, Manuel (1939–2003):
Galíndez 411
- Vega, Ed (1936–2008): *The Comeback* 470
- Veiga, Manuel (b. 1948): *Oju d'Agu* 855
- Velikić, Dragan (b. 1953): *Astragan* 767
- Venantius Fortunatus (ca. 540–ca. 600): *Life of St Martin* 287
- Venezis, Ilias (1904–73): *To noumero* 313328 764
- Venter, Eben (b. 1954)
Ek Stamel Ek Sterwe 777
Horrelpoot 777
- Venter, F. A. (b. 1916)
Swart pelgrim 776
 tetraology 775
- Vera, Pedro Jorge (1914–99) 51
- Vera, Yvonne (b. 1964) 249, 271
Butterfly Burning 778
Nehanda 778
The Stone Virgins 778
- Verbitskaia, Anastasia (1861–1928): *Kliuchi schast'ia* 719
- Verbitsky, Bernardo (1907–79): *Un noviazgo* 785
- Verga, Giovanni (1840–1922) 433
I malavoglia 434, 568
Mastro-don Gesualdo 434
- Verhaeren, Emilé (1855–1916) 92
- Verissimo, Érico Lopes (1905–75): *O tempo e o vento* 98–9
- Verne, Jules (1828–1905) 723, 727
Around the World in Eighty Days 457
- Vesaas, Tarjei (1897–1970): *Huset i mørkret* 584
- Vestdijk, Simon (1898–1971)
 Anton Wachter cycle 494
Meneer Vissers hellevaart 494
De nadagen van Pilatus 495
Het vijfde zegel 495
- Vidocq, Eugène-François (1775–1850):
Memoirs 243
- Vidyachakravartin (14th cent.):
Gadyakarnamrita 33
- Vieira, José Geraldo (1897–1977) 104
- Viewegh, Michal (b. 1962) 169
- Vigny, Alfred de (1979–1863) 78
Cinq-Mars 333, 334
- Vilakazi, Benedict Wallet (1906–47): *Nje nempela* 774
- Vilde, Eduard (1865–1933) 88
Külmale maale 88
- Villalonga, Llorenç (1897–1980)
Bearn 406–7
Mort de dama 407

- Villareal, José Antonio (b. 1924): *Pocho* 468
- Villatoro, Marcos McPeck 472
- Villaverde, Cirilo (1812–94): *Cecilia Valdés* 146
- Villiers de L'Isle-Adam, Auguste (1838–89): *L'Eve future* 220
- Viñas, David (b. 1929)
Los años despiadados 786
Cayó sobre su rostro 786
- Viramontes, Helena María (b.1954)
Under the Feet of Jesus 469
Their Dogs Came with Them 469
- Virgil (70–19 BCE)
Aeneid 43, 234, 281, 283, 286, 287
Georgics 282
- Vishnusharman (ca. 3rd cent. BCE):
Panchatantra 31
- Viswanathan, Padma (b, 1968): *The Toss of a Lemon* 748
- Vittorini, Elio (1908–66)
Conversations in Sicily 436
Il garofano rosso 436
Uomini e no 436
- Vizetelly, Henry (1820–94) 156, 215
- Vladislavić, Ivan (b. 1957)
The Exploded View 773
The Folly 773
The Restless Supermarket 773
- Vogau, Boris: see Pilniak, Boris
- Voinovich, Vladimir (b. 1932)
Ivana Chonkina 723
Moskva 2042 723
- Vollman, William T. (b. 1959) 611
- Volpi, Jorge (b. 1968) 515
En busca de Klingsor 519
- Voltaire (1694–1778) 76, 155
 on bad novels 79–80
 censorship 79–80
 novel 391, 392
 works
Candide 202, 606, 608, 610
L'Orphelin de la Chine 203
Zadig 242, 326
- Vonnegut, Kurt (1922–2007) 159, 308, 729
Slaughterhouse Five 323
- Vorse, Mary Heaton (1874–1966): *Strike!* 844
- Vučo, Aleksandar (1897–1985)
Gluho doba 764
Koren vida 763
- Vyasa (fl. 1500 BCE?) 29
- Walcott, Derek (b. 1930) 146, 150
Omeros 151
- Tiepolo's Hound* 151
- Waley, Arthur (1889–1966) 19
Genji translation 443
Monkey 26–7
- Walker, Alice (b. 1944) 17, 159, 298, 513
The Color Purple 17, 292
- Walker, Margaret (1915–98) 17
Jubilee 16
- Wallace, David Foster (1962–2008) 240
- Wallant, Edward Lewis (1926–62): *The Pawnbroker* 454
- Walpole, Horace (1717–97): *The Castle of Otranto* 231, 242, 369–70, 371, 372
- Walschap, Gerard (1898–1989): *Adelaïde, Eric, and Carla* trilogy 493
- Walser, Martin (b. 1927) 367
- Walters, Joseph J. (ca. 1860–94): *Guanya Pau* 853
- Wamitila, Kyallo (b. 1965) 270
- Wang Anyi (b. 1954) 185–6
Changhen ge 185
- Wang Wenxing (b. 1939): *Jianian* 186
- Wang Zhenhe (1940–90): *Meigui, meigui, wo ai no* 186
- Wanradt, Simon (1500–67) 88
- Ward, Mrs. Humphrey (1851–1920): *Robert Elsmere* 214
- Ware, Chris (b. 1967)
Acme Novelty Library 377
Jimmy Corrigan 377
- Warner, Marina (b. 1946): *Indigo* 2
- Warner, Susan B. (1819–85): *The Wide, Wide World* 833
- Warner, Sylvia Townsend (1893–1978): *The Corner That Held Them* 385
- Warren, Robert Penn (1905–89) 513
- Watanna, Onoto: see Eaton, Winnifred
- Waters, Sarah (b. 1966) 647
- Watson, Sheila (1909–98): *The Double Hook* 141
- Wattar, Tahir (d. 2010) 63
Al-zilzal 578
- Waugh, Evelyn (1903–66) 251
Brideshead Revisited 126
Scoop 457
Vile Bodies 158
- al-Wazzani, Al-Tohami (1903–72):
Al-Zawiya 576
- Webb, Frank J. (1828–94): *The Garies and Their Friends* 10, 11
- Weil, Jiri (1900–59) 169
- Weissenberg, Isaac Meir (1881–1938) 859

- Wells, H. G. (1866–1946) 56, 158, 217, 723
Ann Veronica 125
The Time Machine 727
The War of the Worlds 727
- Welsh, Irvine (b. 1958) 821
Trainspotting 130
- Welty, Eudora (1909–2001) 513, 613
- West, Dorothy (1909–98): *The Living is Easy* 16
- West, Nathanael (1904–40)
Day of the Locust 452, 845
Miss Lonelyhearts 452, 845
- Westö, Kjell (b. 1961): *Drakarna över Helsingfors* 584
- Wharton, Edith (1862–1937) 80, 569
The Age of Innocence 842
The House of Mirth 736, 842
- Whitehead, Colson (b. 1969) 17
- Wicomb, Zoë (b. 1948)
David's Story 773
Playing in the Light 773
- Wideman, John Edgar (b. 1941) 16
The Cattle Killing 17
Fanon 17
A Glimpse Away 17
Philadelphia Fire 17
- Wiebe, Rudy (b. 1934) 142
The Temptations of Big Bear 136
- Wieland, Christoph Martin (1733–1814)
Agathon 94
Don Sylvio 655
Geschichte des Agathon 362
- Wiesel, Elie (b. 1928)
La nuit 860
Un di velt hot geshvign 860
- Wijenaike, Punyakante (b. 1933): *The Waiting Earth* 748
- Wijesinha, Rajiva (b. 1954) 749
- Wilat Pariwat, Luang (1879–1963): *Khvam mai phayabat* 759
- Wilde, Oscar (1854–1900) 5, 92, 457, 647, 742
The Picture of Dorian Gray 5, 220, 373, 643–4, 654, 675
Salomé 219, 420
- Wilder, Thornton (1897–1975) 209
- Wilhelm, Gale (1908–91)
Torchlight to Valhalla 741–2
We Still Are Drifting 741
- Williams, John A. (b. 1925): *The Man Who Cried I Am* 16
- Williams, Shirley Anne (1944–99): *Dessa Rose* 16
- Wilson, Angus (1913–91): *Hemlock and After* 646
- Wilson, Carlos Guillermo: *see* Cubena
- Wilson, Harriet E. (1828–63): *Our Nig* 10, 11, 840
- Wilson, Sloan (1920–2003): *Man in the Gray Flannel Suit* 742
- Winterbach, Ingrid (b. 1948) 777
- Winterson, Jeanette (b. 1959) 486
 “The White Room” 537
Written on the Body 645
- Wiseman, Adele (1928–92): *The Sacrifice* 141
- Wodehouse, P. G. (1881–1975) 251
- Wolf, Christa (b. 1929) 362, 486
Kindheitsmuster 367
- Wolfe, Gene (b. 1931) 728
- Wolfe, Thomas (1900–1938) 90
- Wolfe, Tom (b. 1930) 513
Bonfire of the Vanities 737
The Kandy-Kolored Tangerine-Flake Streamline Baby 458
- Wolff, Betje (1738–1804) 491
Historie van mejuffrouw Sara Burgerhart 491
- Wolff, Tobias (b. 1945) 486, 666
- Wong, Shawn (b. 1949) 68
American Knees 68
Homebase 68
- Wong Meng Voon (b. 1937) 756
- Wood, Ellen (1814–87): *East Lynne* 123, 509
- Woolf, Leonard (1880–1969) 274
- Woolf, Virginia (1882–1941)
 as author and publisher 274–5
 comparativism on 210
 copyright 127
 and Dostoyevsky 633
 editing of 272
 ethnography on 56
 on *Genji* 443
 and Hall 157
 inner consciousness 232
 on *Middlemarch* 443
 modernism 352, 394
 narrative 535
 as reviewer 690
 subjective point of view 544
 works
Between the Acts 522
Jacob's Room 522–3
To the Lighthouse 126, 522, 625, 636
Mrs. Dalloway 5, 125, 239, 259, 373, 443, 636
Orlando 494, 644
The Years 522
- Woolrich, Cornell (1903–68) 244, 845
- Wright, Richard (1908–60) 15–16, 513, 666
The Long Dream 16
Native Son 15, 539, 571, 742, 846

- The Outsider* 16
Savage Holiday 16
Uncle Tom's Children 15
 Wu Cheng'en (ca. 1506–81): *Xiyou ji* 26, 596
 Wu Jianren (1866–1910)
 Ershinian mudu zhi guaixianzhuang 180
 Henhai 180
 Wurtzel, Elizabeth (b. 1967): *Prozac Nation* 484
 Wyld Ospina, Carlos (1891–1956): *La Gringa* 162

 Xenophon of Ephesus (2nd or 3rd cent. CE) 35, 44
 Ephesiaca 284
 Xenopoulos, Grigorios (1867–1951) 763
 Xuan Zang (Tripitaka) 26–7

 Yacine, Kateb (1929–89) 578, 579
 Yamanaka, Lois-Ann (b. 1961): *Blu's Hanging* 66
 Yamashita, Karen Tei (b. 1951): *Tropic of Orange* 69
 Yan Geling (b. 1958)
 Dijiuge guafu 186
 Fusang 819
 Xiaoyi Duohe 186
 Yáñez, Agustín (1904–80): *Al filo del agua* 516–17
 Yang Mo (1914–95): *Qingchun zhi ge* 183
 Yang Yiyang (b. 1925): *Hongyan* 183
 Yarbrow, C. Q. (b. 1942) 245
 Yates, Richard (b. 1926): *Revolutionary Road* 742, 847
 Yavoucko, Cyriaque Robert (b. 1953) 269
 al-Yaziji, Nasif (1800–1871) 59, 574
 Yehoshua, A. B. (b. 1936) 381
 Yeng Pway Ngon (b. 1947) 756
 Yeziarska, Anzia (ca. 1880–1970)
 Arrogant Beggar 451
 Bread Givers 451
 Red Ribbon on a White Horse 451
 Salome of the Tenements 451
 Yi Ch'ongjun (b. 1937) 464
 Yi Gwangsu (1892–1955?) 440–1
 “Ai ka” 441
 Yi Hoch'öl (b. 1932) 464
 Yi Injik (1862–1919): *Hyöl üi nu* 462
 Yi Kiyöng (1896–1984): *Kohyang* 463
 Yi Kwangsu (1892–1950): *Mujöng* 462
 Yi Mun'gu (1941–2003) 464
 Yi Sang (1910–37): “Nalgae” 463
 Yi Yangji (1955–92) 465
 Yıldız, Ahmet Günbay (b. 1941) 825
 Yizhar, S. (1916–2006) 381
 Yoshimoto, Banana (b. 1964) 449

 Yourcenar, Marguerite (1903–87): *Mémoires d'Hadrien* 343, 645
 Yovkov, Yordan (1880–1937): *Zemlyatsi* 764
 Yu Hua (b. 1960)
 Huozhe 186
 Xiongdi 186
 Xu Sanguan maixueji 186
 Yu Miri (b. 1968) 465
 Yun Hünggil (b. 1942) 464
 Yusheng Sun (1864–1939): *Haishang fanhua meng* 733
 Yuson, Krip (b. 1947) 756

 Zafzaf, Muhammad (1945–2001) 63, 576–7
 Zagorichinov, Stoian (1889–1969): *Praznik v Boiana* 765
 Zahran, Yasmin (b. 1933) 63
 Zaidan, Jurji (1861–1914) 60
 Zalamea, Jorge (1905–69): *El gran Burundun-Burundá ha muerto* 254
 Zameenzad, Adam (b. 1949) 749
 Zamyatin, Evgeny Ivanovich (1884–1937) 727
 My 605, 719–20
 Zariņš, Marģeris (1910–93) 92
 Mock Faustus 92
 Zavaleta, Carlos Eduardo (b. 1929) 51
 Zayas y Sotomayor, María (1590–ca. 1661): *Novelas Amorousas y Ejemplares* 402
 Zaydan, Jurji (1861–1914) 574
 al-Zayyat, Latifa (1923–96) 63, 64
 Zehar, Assia: *see* Djebbar, Assia
 Zei, Alki (b. 1925): *I arravoniastikia tou Ahillea* 767
 Zeledón, Manuel González: *see* Magón
 Zeleza, Paul Tiyambe (b. 1955): *Smouldering Charcoal* 270
 Zeng Pu (1872–1935): *Niehai hua* 180
 Zentella, Arcadio (1844–1920): *Perico* 569
 Žeromski, Stefan (1864–1925) 167
 Zhang Henshui (b. 1895): *Tixiao yinyuan* 181
 Zhao Shuli (1906–70) 183
 Zhu Tianwen (b. 1956): *Huangren shouji* 187
 Zhu Tianxin (b. 1958): *Gudu* 187
 Zhuang Zhou (369–286 BCE): *Zhuang zi* 25
 Zindel, Paul (1936–2003) 159
 Živković, Zoran (b. 1960) 768
 Zola, Émile (1840–1902) 156, 158, 585
 as influence 88
 naturalism 492, 567, 664
 on Pardo Bazán 405
 photography 613, 614

Zola, Émile (1840–1902) (*Continued*)

realism 589, 655

works

L'Assommoir 339, 567, 570*Au Bonheur des dames* 339*La Bête humaine* 195, 339*La Curée* 339*La Faute de l'Abbé Mouret* 219*Germinal* 248, 339, 567*Nana* 339, 567, 569, 570*L'Oeuvre* 339, 567*Pot-Bouille* 339*Le Rêve* 280*Le Roman expérimental* 567–8, 588*Les Rougon-Macquart* 338–9, 567*La Terre* 156, 215*Thérèse Raquin* 567

Zschokke, Heinrich (1771–1848) 643

Zuo Qiuming (fl. 5th cent. BCE) 20

Zupan, Vitomil (1914–87)

Leviathan 766*Menuet za kitara* 765

General Index

- Abel, E. 94, 298
Abelard, Peter 290
abolitionism 9, 11, 681, 687
Abraham and Isaac 839
abstract expression 537, 661–2
absurdism 169, 206, 340
Académie Française 223
The Academy 687, 691
acculturation 853–4, 855
Achaemenid Empire 33, 35, 36, 37, 39, 40
Achimota School 851
Aciman, André 700
actants 547
active/passive voice 488–9
Acts of Peter 40
adab (belles-lettres) 58
Adamiyat, F. 430
Adams, H. 71
Adams, Rachel 518
adaptation 1–9
 authorship 4–5, 74, 75
 detective novel 241
 film/television/theater 6–8
 Jane Eyre 297
 marginalized characters 1–2
 multimedia 8–9
 new technologies 601–2
 originality 6
 postcolonialism 2–3
 postmodernism 4
 shadow texts 5–6
 and translation 325
Adoratsky, V. 414
Adorno, Theodor 416, 499, 501, 505, 506, 610
adventure stories 58, 123, 128, 619–20, 769–70
Adventurer 78
advertising 314, 640, 699
Aeolian School 764
Aeschylus 202
Aesop, Life of 40
Aesop's Fables 31, 89
aesthetic sensation theories 585
aesthetics 55
 decadent 220
 device 256–7
 realism 589
 response 656
 Russian formalists 318–19
affect 281, 283, 285, 286, 287, 290, 295, 508–9
Afram 851
Africa, Eastern and Central 267–71
 Christianity 268
 colonialism 267–8
 early writers 268–9
 gender 267, 271
 independence/post-independence 269–71
 indigenous language novels 271
 language 268
 magical realism 271
 postmodernism 271
 settler writers 269
 women writers 271
 see also specific countries
Africa, North: see Maghreb
Africa, Southern 768–79
 African language novels 773–5
 Afrikaans novels 775–7
 Anglophone novels 769–73
 settler communities 768–9
 see also specific countries
Africa, Western 851–7
 Anglophone novels 853
 colonialism 851, 852
 decolonization 854–5

Africa, Western (*Continued*)

- Francophone novels 853
- languages 851
- literary nationalism 852
- Lusophone novels 853
- postcolonialism 853
- post-independence 856
- postnationalism 856–7
- vernacular language novels 853
- women's writing 855–6
- see also specific countries*
- African American novel** 9–18
 - antebellum era 10–12
 - Baldwin 15–16
 - contemporary writers 16–18
 - Ellison 15–16
 - genres 14
 - Harlem Renaissance 13–15
 - metafiction 514
 - postbellum years 10–11, 12–13
 - science fiction 729
 - serialization 10
 - women writers 14, 297–8
 - Wright 15–16
- African Canadian novel 143
- African literature
 - in English 128
 - indigenous languages 565–6, 773–5
 - novels 45
- African Methodist Episcopal Church 10
- Afrikaans literary tradition 768, 775–7
- Afro-Cuban poetry 146
- Afro-Hispanic experience 164
- Ahiqar, Life of* 35–7, 38, 44
- Aiiieeeee! An Anthology of Asian American Literature* 68
- akhbar* (news) 573
- akhyana* (narrative) 32
- akhyayika* (biography) 32
- Alber, J. 559
- albums* 376
- Aldridge, A. O. 620
- Alexander Romance* 40–3
- Alexander the Great 41
- see also Alexander Romance*
- Alexander the Macedonian, Life of* 43
- Alexandrian epics 282
- Algeria 572
 - annexed by France 58
 - Arab language 578–9
 - FLN 578–9
 - French language 578, 579

- novelists 63
- alienation 141, 289, 332, 838
- All the Year Round* 117, 123, 457, 732, 733
- allegorical novel 402–3, 577, 605, 608, 703
- Alleyne, M. C. 145
- alliteration 307
- allrightniks* 451, 452
- allusion 1, 5, 427
- alterity, visual 247
- Althusser, Louis 71, 415, 506
- amatory novels 106–7, 108
- Amazon.com 642
- ambiguity 302, 303
- Amenirdis 45
- Amerasia* 66
- American Civil War 10–12, 52, 834, 835, 840
- American Jews 451
- American Library Association
 - Most Frequently Challenged Books 159
- American Monthly Review* 688
- American novel**
 - early** 263–7
 - expatriation 843
 - feminist theory 295–6
 - spare prose 240
 - surrealism 845
 - see also African American novel; United States (19th century); United States (20th century)*
- American Review* 688
- American Whig Review* 687
- Americanness 651–2, 837–8
- see also United States of America*
- Amir Asrsalan Namdar legend 428
- Amory, Hugh 681
- anachrony 814–15
- anacluthon 700
- anagnorisis 200
- Analects: see Lun yu*
- analepsis 532, 812, 815
- anaphora 308, 698
- Anatolia 824–5
- Anatolian Greeks 764
- Anaxagoras 39
- Anaximander 39
- Anaximenes 39
- ancient narratives of China** 18–28
 - early history classics 19–21
 - genres 25–6
 - Historical Records* 21–4
 - histories 24
 - novel 26–7
 - Sima Qian 21–2

- ancient narratives of South Asia** 28–35
 didactic narrative 30–2
Mahabharata 28–30
 poetic narrative 30–4
Ramayana 28–30
- ancient narratives of the West** 35–47
Alexander Romance 40–3
 ancient novel 46–7
Callirhoe 43–6
Life of Ahikar 35–7
 tributary state 37–40
 Ancient Novel 35, 46–7
 Anderson, Benedict 228, 263, 264, 564, 668, 672, 755, 818
 Anderson, Margaret 156
 Anderson, P. 608, 610
 Anderson, R. D. 307
- Andes** 47–52
 demographic changes 51
 globalization 48, 51
 indigenous peoples 51
 modernistic 50
 realism 51
see also specific countries
- Andrews, M. 658
 Andrews, William L. 10
 androcentrism 646
 anecdotes 19, 22, 37
The Anglo-African Magazine 10, 734
 Anglo-American Copyright Act 214
 Anglo-American critics 395
 Anglo-American novels 272
 Anglo-Boer War 769, 775
 Anglo-colonials 136
 Anglophone novels
 South Africa 769–73
 Western Africa 853
 Angola 777, 779
 Angolan war 410
 Angry Young Men 130
 anonymity 79, 690–1
 antebellum era 10–12
 anthologies for reading 657
- anthropology** 52–7, 668
 autoethnography 56–7
 culture 55
 ethnographic imagination 55–6
 evolution 52–3
 myth 525
 natural selection 52–3
 novel 52, 53–4
 and novel 53–5
 primitive 570
 anti-censorship 160
 anticolonial novel 340, 745
 antifoundationalism 805
antiimperialismo 161, 162
 anti-irreversibility 815
antillané 145
 anti-mimeticism 397
 anti-nihilist novel 712
 anti-novels 763
 anti-realism novels 764–5, 767
 anti-Semitism 91, 249
 anti-sequence 814–15
 anti-transience 814
 Antoninus 45
Anugerah Sasterawan Negara 756
 Aparicio, F. R. 467
 apartheid 771, 773
Apocalypse Now (Coppola) 8
 Apollonian optimism 202
 Apollonian principle 405
Apollonius of Tyre 40
 aposeopesis 698, 700
 apothegms 31, 36, 37, 38
 Appiah, K. A. 852
 Applegarth rotary printer 599
- appropriation** 1–9, 75
see also adaptation
- Apter, E. 821
 Arab American novels 63
 Arab world
 cultural identity 59, 64
 and Europe 61
 Maghreb 571–2
 nationalism 579
 translations from English 60
 Arab-Canadian novelists 63
Arabian Nights: see Thousand and One Nights
 Arabic language 57–8
- Arabic novel (Mashreq)** 57–65, 380–1, 395, 571–3
 colonialism 58–60
 emergence of 60–1
 Mahfouz 61–2
 modernity 573–4
 novelists 61–3
 philosophical novel 607
 poetry 57, 574
 themes, major 63–5
 women writers 60
- Arabic script 597
 Arabicization 579

- Arab-Israeli conflict 59, 63
 Archer, Thomas 455–6
 archetype 528
 character 209
 dying god 54
 literary 5
 mythology 225, 525
 plot 539
 scapegoat 54
 archival histories 397
 Ardis, Ann 125, 349
 Arendt, H. 591
 Argenteuil, Héloïse d' 290
 Argentina
 Italian immigrants 569
 naturalism 569
 neorealism 786
 novelists 63
 Perón regime 785
 Rosas government 782
 Aristophanes 205, 206
 Armenia 42
 Armstrong, C. 213, 615
 Armstrong, Nancy 262, 297, 349, 352, 417, 507,
 612, 615, 740–1
 Desire and Domestic Fiction 191, 592
 Fiction in the Age of Photography 212
 Armstrong, Piers 99
 Arnold, Matthew 131, 586, 668
 Arrivé, Michel 426
 art
 apophatic 317
 as device 318
 memory 341
 as modeling system 319
 narrative 536
 Russian formalists 316
 art for art's sake 544
 Artaxerxes 45
 Arthurian legend 701
 artists, as writers 810
 art-prose narrative 34
 Arts Council of Great Britain 130, 131
 Aruba 145
 Aryanpur, A. 428
 Aschelmen-roman 401
 Ashcroft, B. 246
Asia, South 743–50
 ancient narratives 28–35
 anticolonial sentiment 745
 Bangladeshi novel 750
 colonialism 744–6
 English language 744–5
 fiction 127
 Indian novel 746–8
 languages 744
 Pakistani novel 749–50
 postcolonialism 743–4
 precolonial state 745–6
 religion 745
 Sri Lankan novel 748–9
 writers 125, 131
 see also specific countries
Asia, Southeast archipelago 750–7
 colonialism 753–4, 755
 Dutch language 755
 novel 751–7
 postmodern realism 757
 rural/urban life 752–3
 Westernization/modernization 753
 see also specific countries
Asia, Southeast mainland 757–61
 Burma 759–60
 Cambodia 761
 film books 759
 languages/scripts 757–8
 Laos 761
 oral tradition 758
 poetry 758
 print technology 758
 serialization 758
 Thailand 758–9
 Vietnam 760–1
Asian American novel 65–9
 autobiography 67, 68
 early 66–7
 post-1965 68–9
 Asian Americans 352
 Asian Canadians 69
 assimilation 127, 854
 association 127, 473, 489
 Association Littéraire et Artistique
 Internationale 682
 Association of Asian American Studies 65
 Association of Independent Libraries 475
 Assur 36, 37, 40
 Assyrian court 38
 Astudillo, Eliodoro Hernández 785
 Asturias, Miguel Ángel 503
Athenaeum 686, 690
 Athens University massacre 767
Atlantic 735
Atlantic Monthly 671, 691, 734
Atonement (Wright) 8

- Attridge, Derek 3
 Attwell, D. 772, 773
auctor 70
 audience 693, 697
 audiobooks 657, 659
 Auerbach, Erich
 Christ story 673
 figura 175
 Mimesis 358, 393, 501, 621, 660, 661
 modern realism 666
 narrative 621, 622
 “Philology und Weltliteratur” 208
 Rabelais 674
 secularization 673
 serious realism 707
 total reality 665
 on Woolf 126
 Augenbraum, Harold 468, 469
 Augustine, Saint 483, 510, 512, 513
Ausländerliteratur (literature by foreigners) 368–9
 Austin, Gilbert 658, 799
 Austin, J. L. 796–8
Australia 485
 Australian literature 3
 Austrian literature 362
author 69–73
 British 118–19
 class 118
 death of 71, 631–2
 implied 72–3, 531, 550, 558, 561, 695–6
 language/humanity 633
 New Criticism 70
 origins of term 70
 poststructuralism 71–2
 publishing 80
 reader 561
 real/implied 530
 realism 588–9
 reviewing 689–90
 rights 76, 214
 Russian Formalism 70
 second self 72
 status 79
 structuralism 70–1
 as term 70
 typesetter 830–1
 authorial discourse 79
 authorial intention 274, 278, 427, 658, 696
 authorial narrative situation 556–9
 authority 70
 author-narrator 708
 author-privilege system 212
authorship 73–82
 adaptation 4–5, 74
 appropriation 74–6
 Bakhtin 84
 book-trade regulations 80
 economics/moral transcendence 77–9
 Foucault 74
 Furetière 74
 gender 81
 identity 75
 individualism 64–5, 79–81
 legal issues 74–6
 libel 216
 literary property 77–9
 moral qualities 79
 professionalism 77, 641
 as work 76–7
 autobiography
 Asian American novel 67, 68
 childhood 484
 fictional 327
 as graphic novel 376
 and life writing 482
 memory 512–13
 and novel 511–12
 novel content 495
 poetry 483
 slave narratives 9, 264
 autodiegetic narrative 805
 autoethnography 56–7, 122
Automatistes 141
 autotext 427
avant-garde 98, 514, 763, 764,
 809–10
 avatars 538
 Aymara language 48, 49
 Aztec history 162

 Bacon, Francis 694
 Badawi, M. M. 60
 Baguley, David 567
 Bain, Alexander 585, 587
 Baker, E. 394
 Baker, Houston 73
Bakhtin, Mikhail 83–7
 authorship 84
 background 83–4
 carnavalesque 83, 85
 chronotope 264, 536, 793, 815
 dialogic 250, 253, 256, 399, 424, 427, 591, 710,
 807, 852
 discourse 253, 257, 696–7

Bakhtin, Mikhail (*Continued*)

- double-voicing 552
- epic/novel 285, 391
- genre 355–6, 357
- on Goethe 85–6
- heteroglossia 37, 85, 399, 552, 852
- narrative context 260
- narrative techniques 697
- narrators 557
- on novel 225, 357, 360, 399, 416–17, 506
- parody 608
- poetics 85–6
- polyphony 85, 708, 713, 716
- on Rabelais 83, 84, 85
- rhetoric 693
- satire 602, 604
- space 793
- speech 355–6, 561
- studies on 86–7
- voice 552
- works
 - Art and Answerability* 84
 - The Dialogic Imagination* 85, 288, 499
 - “Discourse in the Novel” 256
 - “Epic and Novel” 193–4, 283, 389
 - Problemy tvorchestva Dostoyevskogo* 85
 - Speech Genres* 86, 356
 - Towards a Philosophy of the Act* 84
 - Tvorchestvo Fransua Rable* 85
- Bakhtin Centre 87
- Bakhtin Circle 83
- Bal, Mieke 172, 529, 551, 795, 811, 812
- Balay, C. 428, 430
- Balibar, Étienne 189, 414, 652
- Balkan Wars 763, 823
- Balkans 761–8
 - antirealist modernism 764–5
 - ensorship 765–6
 - postmodernism 766–7
 - science fiction 768
 - socialist realism 765–6
 - symbolism 762–3
 - see also specific countries*
- Baltic States 87–93**
 - Estonian narrative 88–9
 - Latvian narrative 91–2
 - Lithuanian narrative 89–91
 - oral tradition 87
 - see also specific countries*
- Baltimore Library Company 474
- Banfield, A. 259, 559, 814
- Bangladesh 744, 750
- Bantu education 774–5
- Barbados 145
- Barbaud, Anna Letitia 678
- Barcelona 403, 404, 406, 407
- Barchas, Janine 830
- Barker, Nicholas 831
- Barlaam and Joasaph* 40, 44
- Barnard, Rita 769
- Barnes and Noble bookstores 80
- Baroque period 35, 222, 223, 224, 247
- Barrow, Isaac 480
- Barthes, Roland 172, 231
 - on author 629, 631–2, 696
 - on Balzac 335, 593–4
 - coenesthesia 239
 - on Flaubert 662
 - intertextuality 427
 - myth 415
 - narrative 535, 545
 - narratology 627
 - nouveaux romanciers* 342
 - nuclei/catalyzers 546
 - parole/langue* 805
 - photography 615
 - reality effect 400
 - on Robbe-Grillet 240
 - on Sarduy 148
 - sociological phenomenon 343
 - text 425–6, 548–9, 718, 806
 - works
 - Camera Lucida* 615
 - “The Death of the Author” 71, 806
 - “From Work to Text” 807
 - “Introduction to the Structural Analysis of Narratives” 806
 - Mythologies* 526, 806
 - S/Z* 627, 631, 806, 807, 808
- Basque politics 411, 412
- Bataille, Georges 300
- Battchen, Geoffrey 612
- Battle of the Frogs and Mice* (Homeric fable) 282
- Baugh, A. C. 246
- Baxandall, L. 504, 505
- Bayle, Pierre 383, 385
- Baym, Nina 689
- Beach, Sylvia 156–7
- Beadle’s American Sixpenny Library (Routledge) 682
- Beardsley, Aubrey 219, 419–20
- Beardsley, Monroe 70, 694, 798
- Beaton, R. 764, 767

- The Beats 846
 Beattie, J. 388, 392
 Beaumarchais, Pierre 76
 Beaumont, Edouard de 418
 Becker, George 567
 Begam, R. 133
 Beier, U. 772
 Beijing opera 203
 Belgium 214, 491, 498
 Belinsky, Vissarion 708, 710
 Bell, Bernard W. 16
 Bell, John 678
 Bell, Michael Davitt 662
 Benfer, A. 377
 Bengali American authors 299
 Bénichou, Paul 79
 Benjamin, Walter 500, 505, 524, 591,
 613, 615
 Benstock, Shari 127
 Bentley, Richard 682
Bentley's Miscellany 457
 Bently, L. 215
 Benveniste, Émile 801, 811
 Berger, John 615
 Berger, Morroe 55
 Bergson, Henri 635, 636, 813
 Berlant, Lauren 295, 299, 739
 Berlin 365, 377, 523
 Berlin, J. A. 694
Berliner Illustrierte Zeitung 735
Berlinische Monatsschrift 80
 Berman, Antoine 819, 820
 Bermann, Sandra 211
 Berne Convention 214, 216, 641, 682, 683
 Bernheimer, Charles 220
 Berrada, Mohamed 573
 Bersani, Leo 663–4
 Berthoff, Walter 660
 Berube, M. 698
 bestsellers 626
 Bettelheim, Bruno 540
Beur novelists 580
 Bevington, M. M. 691
 Bewes, T. 606
 Bewick, Thomas 419
 Bhabha, Homi 151
Bhagavatapurana 29
 Bhattanayaka 32, 33
bian wen (Transformation Text) 15
 Biasi, Pierre-Marc de 427
 Biber, D. 489
 Bible 70, 242, 527, 621–2, 731
 bibliomania 480–1
Bildung, theory of 95
bildungsroman 93–7
 anthropology 53
 Bulosan 67
 defined 93–4
 experimenting with 363
 Goethe 542
 and picaresque 620
 plots of development 94–5
 social work of 96–7
 teleology 95
 bilingualism 142, 150
 Billings, Charles Howland
 Hammatt 422
 Binet, Alfred 219
 biographical criticism 72
 biography 32–3, 483
 biological determinism 568
 biopower 255, 738–9
 Bizzell, P. 694, 695
 Bjornson, R. 619
 Black, Max 310
 Black Arts Movement 16
 black feminists 350
see also women of color
 Black Is Beautiful 16
Black Mask 244, 736
 Blackall, Eric 361
 Blackburn, Robin 189
 Blackmur, R. P. 231, 788
Blackwood 585
 Blackwood, William, & Sons 639
Blackwood's Magazine 691, 736
 Blair, Hugh 238, 657
 Blake, N. F. 246, 249
 Blake, Quentin 424
 Bland, D. A. 424
 Blank, P. 247
Blast 127
 blending theory 312
 Bliss, Percy 735
 Bloch, Ernst 499, 501, 505
 Blodgett, E. D. 137
 blogs 485
 Blondel, Pierre-Jacques 80
 Bloom, A. 565
 Bloom, Harold 357, 695
 Bloomsbury Group 127, 810
 Blumenberg, Hans 672
Blut und Boden literature 249
 Bly, Nellie 457

- Boas, Franz 53, 525, 668
 body 297, 837, 839
 Boethius, Ancius 70
 Bogatyrev, Petr 319
 Bohn, Henry 682
 Boileau, Nicolas 79, 221
 Bolivia 47–52
 Bolshevik revolution 716
 Bolter, Jay David 8
 Bonnier, Albert 640
 book clubs 473
 book costs 676
 Book Marketing Council 133
Book of Documents: see Shu jing
Book of Mountains and Seas: see San hai jing
Book of Songs: see Shi jing
Book of the Way and Integrity: see Dao de jing
 book production 601–2, 639, 642
 book reviewers 690–1, 691–2
 book talkers 179
 book trade 638
 Booker prize 124, 132
 book-privilege system 212
 books, cost of 481
 booksellers 475–6, 639
 bookstalls 600, 640
 book-trade regulations 75, 80
 Boom novel
 Borges as influence 784
 Latin America 254, 606, 611
 Mexico 517, 519
 philosophy 611
 and skepticism 786–8
 Boone, J. 351, 739
 Booth, Wayne C. 553
 character narrators 560–1
 and Chatman 550
 communication 593
 distance concept 552
 implied reader 655–6
 narrative theory 627
 omniscient narrator 557
 on rhetoric 549, 693, 694, 695–6, 699
 Rhetoric of Fiction 72, 211, 225, 529, 529–30,
 535–6, 541
 Boots Booklovers' Library 477
 border crossings 834, 838–40, 849
 border warfare 835–6
 Bornstein, G. 272, 274, 275
 Bórquez, Josefina 518
 Boston 477
 Boswell, James 109
 Bouchard, D. 74
 Bouillaguet, A. 426, 427
 Boulanger, Louis 418
 Bourdieu, Pierre 79, 133
 Bourget, Paul 635
 Bourguiba, Habib 575
 Bourne-Taylor, J. 637
 Bousquet, M. 698
 Bouteflika, Abdelaziz 579
 Bouveresse, Jacques 306
 Bowers, Fredson 278, 279
 Bowlby, Rachel 507
 Boyd, Brian 200
 Boynton, R. S. 459
 Bradbury & Evans 116
 Bradford Circulating Library 476
 Bradley, A. C. 170
Brahmanas 28
 Brake, Laurel 117
 Brandes, Georg 582
 Brandist, Craig 87
 Brandt, K. 366
Brazil 97–105
 displacement 104
 family breakdown 104–5
 history 98–9
 Japanese literature 441
 naturalism 98, 569
 new social movements 99
 novel 97–9, 101–5
 novelists 63
 race 569
 realism 98
 Social Novel 98–9
 Brecht, Bertolt 415, 501, 505
 Bremond, Claude 535, 804, 805
 Brennan, T. 818
 Breton, André 809
 Briden, Earl F. 422
 Brigham, Clarence 678
Brihatkatha 30, 31, 32
Brihatkathamajari 31
Brihatkathashlokasamgraha 30
 Brik, Osip 316
 British Book Awards 133
 British Broadcasting Corporation 129
 British Canadians 137
 British Copyright Commission
 682–3
 British Empire 58, 136, 140, 351
 British Isles
 class 191–2

- colonies 58, 130–2
 copyright laws 214
 cosmopolitanism 125–7, 126
 detective novels 243–4
 Egypt 58
 feminism 350
 feminist theory 295–6
 fiction to USA 217, 263–4
 historiography/class 189–90
 history of 226
 illustration 419
 Industrial Revolution 639
 libraries 473, 477
 modernism 125
 serialization 731–2
 settings 126
 Sudan 58
 translations of novels 60, 818
see also England; Scotland
- British Isles (18th century) 105–15**
 amatory novels 106–7
 character 111
 proto-realism 107–8
 satire/novel of ideas 111–12
 sentimental novels 113, 114
 women novelists/characters 112–13
- British Isles (19th century) 115–24**
 authors 118–19
 literacy 115–16
 novelists 115–16
 printing and distribution 115–16
- British Isles (20th century) 124–34**
 educational reform 125
 film adaptations 125
 globalization 132–3
 immigration 127, 129
 literary networking 127–8
- British Library 480
British Magazine 731
 British Museum 480
The British Novelists 390, 678
The British Press 457
 Brodhead, R. 262, 669, 671
 Brooks, Cleanth 535
 Brooks, Peter 508–9, 629, 630
 deep structure 548
 on *Finnegans Wake* 632
 on *Great Expectations* 631–2
 Reading for the Plot 193, 211
 Brookshaw, D. 854
Brother Jonathan 680, 734
 Brouillette, Sarah 133
- Brown, G. 76
 Browne, Hablot K. 421
 Bruges 491
 Bruner, Jerome 537, 540
 Bruno, Giordano 400
 Buckley, J. H. 94
 Bucolic Revolt 45
 Buddhist tradition 26, 33, 749
 Budhasvamin 31
 buffoon literature 617
Bufo & Spallanzani (Fonseca) 99
 Buford, Bill 666
 Bulgaria 762, 763, 765, 767
 Bullock, R. H. 694
 Bulwer-Lytton, Edward 586–7
 Burgett, Bruce 739
 Burgh, John 657
 Burke, Kenneth 359, 506, 535, 693, 694–5, 698
 Burke, P. 251
 Burkina Faso 854
 Burma 757, 759–60
 Burrows, Stuart 614, 616
 Burton, Edmund 685
 Burton, R. 387, 394
 Buss, R. W. 171
 Butler, Judith 298, 351, 415, 499, 800
 Buzard, James 56, 122
- Cable, T. 246
 Cadden, M. 351
 Calcutta Circulating Library 474
 Call, J. 197
 calotype 612–13
 Calvinism 402
 Cambodia 757, 760, 761
Cambridge Companion to Literature on Screen 8
 Cambridge Hellenists 525
 Cambridge University Press 217, 273
 Cameron, Sharon 634
 Campbell, John W. 728
 Campbell, Joseph 526, 528
- Canada 135–44**
 aboriginal novels 143
 British Empire 140
 colonial life 137
 Confederation era 135, 138–40
 English language literature 135, 136–8
 epistolary novels 137
 ethnic minority novelists 143
 feminist novels 143
 formalism 142
 French language literature 135, 136–8

Canada (*Continued*)

- Great Depression 140–2
- historical novelists 136
- hybrid forms 144
- identity 135
- immigrant novelists 143
- indigenous people 137, 140
- multiculturalism 143
- pluralism 142–4
- postmodernism 142
- provincialism 140
- Quebec's Quiet Revolution 135
- realism 136, 140
- Romance 135
- Romanticism 137
- roots 135–6
- separatist novels 139–40
- Union of Upper and Lower 135
- urbanization 140
- World Wars 135, 140–2
- Canadian Bookman* 140
- The Canadian Forum* 140
- Candido, A. 101
- canon
 - copyright 156–7
 - challenges/confirmations 3–4
 - editing 272
 - English literature 124, 128
 - French literature 330–1
 - German literature 362
 - national 565
 - and other novels 397
 - revisions 276
 - theater 6
 - USA 833
- Cantar de mio Cid* 399
- A Canterbury Tale* (Powell) 6
- cantigas* 399
- Cao Cao 382
- Cape, Jonathan 157
- Cape Verde 854, 856
- capitalism
 - class 191
 - Enlightenment 672
 - feudalism 35
 - individual 592
 - and Marxism 504
 - merchant 47
 - novel 592
 - serialization 731
 - sexuality 742
- captivity narratives 834
- Carby, Hazel 131, 296, 297, 351
- Cardwell, S. 7
- Caribbean** 144–53
 - Anglophone novels 150–1
 - Cuban novel 147–9
 - cultural identity 144–5, 151
 - dialect 249
 - Dominican Republican novel 149–50
 - Francophone novels 151–2
 - geography of 144
 - languages of 145
 - literary awards 145
 - migration 146
 - Puerto Rican novel 149–50
 - racial themes 146–7
 - Spanish-speaking 146
 - writers 129
 - see also specific islands*
- Caribbean Voices* (BBC) 129
- Carnegie, Andrew 477, 479
- carnavalesque 85, 142
- Carrithers, D. W. 667
- Carroll, Joseph 200
- Carthage 43
- Cartmell, D. 8
- Casanova, Pascale 501, 566
- Case, Alison 553
- Cassin, Barbara 303
- Cassirer, Ernst 83, 359
- Castilian literature 399, 401–2, 410–11
- Castillo, Bernal Díaz del 517
- Castle, Gregory 55
- Castle, Terry 299
- Castro, Américo 401
- Catalonia
 - literature 400–1, 404, 407
 - Spanish Civil War 406, 408
- catharsis 176
- Catholic Church 493, 498, 672
 - copyright 154
 - corruption 161
 - freedom of expression 161
 - Quebec 141–2
 - ultramontanism 139
 - Western 87, 89
- Caudwell, Christopher 506
- Caxton, William 400, 638
- cell-phone novel 449
- Celtic cultural nationalism 55–6
- Celtic legends 701
- copyright** 153–60
 - activism 158–9

- Asian Americans 66
 authors 74–5
 Balkans 765–6
 canon 156–7
 China 183
 circulating libraries 117
 copyright 213
 editing 274
 education 159
 endings 194
 forms of 153–4
 Germany 362
 modernist novels 127
 pornographic novels 125–6, 155–6
 pre-/post-publication 153–4, 155, 215
 Russia 709–10, 712, 716, 722–3
 serialized fiction 735–6
 South Africa 776
 Voltaire 79–80
 Central African Republic 269
Central America 145, 160–5
 Indian peoples 162
 literary tradition 160
 New Historical Novel 164
 novel evolving 161–3, 471–2
 race 162
 Spanish language 160
see also specific countries
Century 671, 691–2
 Certeau, Michel de 389, 392, 793
 Chace Act (USA) 683
 Chaco War 787
 Chambers, William 639
champu genre 34
 Chan, Jeffrey Paul 68
changpian xiaoshuo (novel) 178
 Chapman, M. 770, 773
 Chapman, R. W. 279
character 169–78
 action 522
 archetypes, literary 209
 British novels 109, 111
 detective novel 242–3
 dialogue 250
 discourse 257
 empathy 199
 gothic novel 371
 historical 400
 humanism 170–2
 identification 173
 low 204
 marginalization 1–2
 as masquerade 523
 objectification 589
 person 177
 picaresque novel 618–19
 plot 200, 211
 quasi-persons 170
 and reader 173–5
 realism 171
 Southeast Asian novel 752
 space 794
 structuralism 172–3
 type 175–7
 utterance 487–8
 character narrator 560–1
 Charcot, Jean-Martin 219
 Charles, Prince of Wales 132
 Charles II 383
 Charleston Library Society 474
 Chartier, R. 640
 Chartism 474
 Chase, Richard 524, 833
 Chatelain, Zacharie 829
 Chatman, Seymour 489
 communication 530, 559
 focalization 551
 kernels/satellites 546
 narrative 534, 535, 550, 627
 postclassical structures 547–8
 speech acts 798
 story/discourse 802, 804
 voice 547, 802
 Chávez-Silverman, S. 467
 Chen Duxiu 181
 Chen Sheng 22
chengshi wenxue (urban literature) 184
 Chernyshevsky, Nikolai 711–12
 Chicago School 693, 695, 697, 845
 Chicano/a novel 467–9
 Ch'ien, E. 821
 childhood autobiography 484
 children's fiction 244, 423–4
 children's libraries 479
 Chile 780, 785, 790–1
China 178–88
 ancient narratives of 15–22
 censorship 183
 classical novel 179–80
 Communist Party 182, 183
 Cultural Revolution 596
 diaspora 186–8
 Division, Age of 20, 26
 drama 202

China (*Continued*)

female sexuality 185
 “Four Books” 25
 geopolitical division 186
 historical novel 381–2
 history/literature 18–19
 immigrants 143
 and Korea 460
 Literary Copyright Association 217
 love stories 187, 202–3
 magistrate tales 242
 modernity 180–3
 nation-building 182
 novel categories 178
 novels, early 18, 178–9
 on-line writing 184
 oral tradition 178–9
 popular entertainment 179, 182
 post-socialist writing 184
 public libraries 479
 realism 22
 rewriting 179
sheng yuan 26
 storytelling 15
 supernatural tales 22, 26
 Three Kingdoms period 20
 trends 184
 vernacular 181–2
 vernacular fiction 21, 596
 Warring States period 20, 25
 western influences 147, 183, 184
xiao shuo 18
see also **ancient narratives of China**
 Chinese Americans 67
 Chinese Exclusion Act 66
 Chirico, Giorgio de 494
 chivalric prose romance 222, 303, 701–2
 Chomsky, Noam 546
 Chōson Kingdom, Korea 461–2
 Chrisman, Laura 769
The Christian Recorder 10, 12
 Christianity 139, 268, 287
see also Catholic Church; Protestantism
 chromolithography 597
 chronographia 234, 236
 chronology 522, 532, 534, 801
 chronotope 264, 536, 793, 815
Chun qiu (*Spring and Autumn Annals*) 20
Ch'unhyangjŏn (*Song of a Faithful Wife*) 462
 circulating libraries 117, 475–7, 640
 citation 427
Citizen Kane (Welles) 517

Civil Rights movement 295
civilización y barbarie 162
 civilization, hierarchy of 52
 Cixous, Hélène 73, 806
The Claim (Winterbottom) 8
 clan saga 461
Claridade movement 854
 Clark, Katerina 86
class 188–92
 authors 118
 biological determinism 568
 British novel 191–2
 capitalism 191
 defined 188–9
 detective stories 244
 dialect 250
 feminist socialism 190
 gender 190, 785
 historiography 189–90
 Jewish American novel 452
 literature 564
 Lukács 500
 Marxist theory 507
 masculinity 742
 Mexico 517
 morality 121
 novel 191
 personal libraries 481
 public libraries 478
 race 848
 race/gender 351–2
 readers 733, 836
 realism 588
 as social category 189
 USA 840
 class consciousness 517
 classic texts 156–7, 677
see also canon
 classical studies 554
 Clean Books Crusade 158
 clear-texts 277–8, 280
 cliché 700
 Clingman, S. 771
closure 193–7
 deconstruction 195
 history of novel 195–6
 McCloud 375
 theories of 194–5
 Clowes, William, Ltd. 599
Clueless (Heckerling) 8
 Coburn, Alvin Langdon 614
 code-switching 467

- Coen, Ethan 503
 coenesthesia (Barthes) 239
 Coetzee, J. M. 769, 772
 coffee houses 476
cognition/figurative language 301, 307–15
 cognitive frames 321
 cognitive linguistics 310, 488–9
 cognitive metaphor theory: *see* Conceptual Metaphor Theory
 cognitive narratology 548
 cognitive poetics 1, 314
cognitive theory 197–200
 cooperation 199
 narrative 197–8
 narrative universals 200
 Theory of Mind 198
 Cohen, Hermann 84
 Cohen, J. 309
 Cohen, M. 397
 Cohn, D. 257, 258, 259, 260, 300, 535, 556, 561, 637
 Cold War 130, 508, 728
 Coley, William B. 278
 Collins, Jane 616
 Collins, P. 624, 658
 Colombia 63
 Colonial and Home Library (Murray) 682
 Colonial Library series (Macmillan) 682
 colonialism
 Arab world 58
 Canada 137
 dialect 246–7, 248
 Eastern and Central Africa 267–8
 English language 757
 European 58–9, 64
 gender 295, 350, 651
 Korea 463
 Maghreb 574
 modernity 649
 patronage 269
 satirized 604
 slavery 147
 South Asian novel 744–5
 Southeast Asia 753–4, 755
 Western Africa 851, 852
 Colonna, Francesco 419
Colored American Magazine 13
Columbian Magazine 731
Comédie française 76
comedy and tragedy 200–7
 absurdity 206
 disaster 202
 novel 205–7
 origins 201
 Western traditions 200
 comic books 375, 377
 comic novel 251, 324
 Comics Code 375
 coming out novels 644, 739, 743
 comix movement 375
 commedia dell'arte 175, 247
Commentary 452
 commercial libraries 475–7
 commercialization of literature 75, 133
 commodification 500, 509, 600–2, 638
 commodity culture 648
 Commonwealth Immigrants Act, UK 131
 Commonwealth of Nations 145
 communication 593
 Chatman 559
 Chicago School 697
 narratee 550
 narrator 550
 nonverbal 310
 printing 640
 reader 653, 656
Communications 806
 Communism 394–5, 479, 844
 community librarianship 479
 Compagnon, Antoine 427–8
comparativism 208–12
 comparability 208–9
 context 208
 evolutionist 53
 form 210–11
 gender 211–12
 genre 210–11
 global 209–10
 national literature 566
 recent developments 211
A Compleat History of Executions 731
 composers 677, 830
 Comstock, Anthony 158
 Comstock Act (USA) 158
 conceptual integration theory 312
 Conceptual Metaphor Theory 310–12, 314
 conceptualization 489
 Coundouriotis, Eleni: *Claiming History* 56
 confessional work 512
 Confucianism 19, 20, 25, 182
 Congo, Democratic Republic of 357
 Connors, R. J. 694
 connotative realm 428
 Conrad, S. 489

- consciousness 585, 592, 636, 646
consecution 534–5
conspiracy theories 848
Constantine 70
consumerism 842–3
Contemporary journal 585
Contemporary Review 691
content/form 317
conversation/dialogue 251
conversion 46, 194
conversion narratives 834
conversion romanesque 194
conveyance 534–5
convict confessionals 3
Cook, Elizabeth: *Epistolary Bodies* 288
Cooke, John 678
Coolidge, Calvin 843
Cooper, H. 702
Co-Operative Society 474
Coppola, Francis Ford 8
Copyright Act (USA) 678
Copyright Acts (India) 215
Copyright Acts (UK) 214, 216, 641
Copyright Extension Act (USA) 683–4
Copyright Term Extension Act (USA) 217
copyright/libel 212–18
asymmetrical legislation 600
Canadian 681
commercial interests 640
consolidation of laws 70
de facto 679, 681
European Union 217
expired 677–8
France 328
international law 678–9
literary proprietorship 273
novel 216–17
Russia 214
Scottish/English 677
time scale 216
United States of America 678–9
violation 213
copy-text theory 278, 279
Cornejo Polar, Antonio 49
Cornhill Magazine 117, 422, 733
corpus linguistics 489–90
Cortázar, Julio 786
cosmopolitanism 125–7, 126, 518–19, 562
cosmopolitical texts 826–7
Costa Rica 160
costumbrismo (sketches of manners) 147, 161, 620
Coulet, H. 222, 223
counterculture 517–19
Couser, G. T. 484
co-writing 80
Crane, R. S. 695
Crawford, R. 54, 130
Creative Commons 684
crime fiction 120, 508
see also detective novel
Crimean War 711
criollismo, Central America 161
Cristero War 255
critical realism 721–4
Critical Review 685, 690
Croatia 762, 763, 764, 765
Cromwell, Oliver 383
Cronin, M. 821
cross-dressing 2, 100
Cruikshank, George 117, 419, 421–2
Crump, M. M. 283
Crystal, D. 821
Cuba 145, 146, 147, 149, 646–7
Cuban American novel 470–1
Culler, Jonathan 806
on Auerbach 208
character 173
competent reader 656
metaphor 698
mythology 546
omniscient narrator 557
story/discourse 535, 801
Structuralist Poetics 210
Culpeper, J. 314
cultural anthropology 320
cultural field 79
cultural geography 668, 669
cultural imperialism 59
cultural relativism 853
cultural studies
and literary studies 351–2
Lukács 501
realism 396
culture
anthropology 55
fiction 130, 388–9
flows 668
high 210
internationalism 518
nationalism 136, 142
power 297
culture wars 565
Cumberland, Richard 691
Curial e Güelfa 400

- Currie, Gregory 300, 302
 Curry, S. S. 658
 Cvetkovich, Ann 509
 cyber-novels 601–2
 cyberpunk 144, 729
 cynicism 498
 Cyrus, King 382
 Czech literature 165–6
- Dadaism 847
 Daguerre, Louis 419, 612
 daguerrotype 612–13
 Dahomey 854
Daily Telegraph 737
 Dallas, E. S. 585, 587
 Dällenbach, Lucien 427
 Daly, Nicholas 133
 Dames, Nicholas 637
 Damrosch, D. 209, 818
Dangerous Visions anthologies 728
 Danish West Indies 151
 Dante Alighieri 158, 175, 279, 654, 674
Dao de jing (Book of the Way and Integrity) 25
 Darío, Rubén 783
 Darius I 38–9, 41
 Darius II 45
 Darius III 41
 Darnton, Robert 79
 Darwin, Charles 52, 209, 614, 841
The Descent of Man 567
Expressions of Emotions 614
On the Origin of Species 567
 Daubigny, Charles-François 418
 Davidson, C. 226, 350, 353
 Davies, Andrew 7
 Davies, David 300, 301, 304
 Davis, L. J. 215, 253, 256, 456
 Davis, M. 637
 de Man, Paul 627, 806
 death and resurrection theme 194
 deathbed endings 194, 195
 Deazley, R. 213
 Debord, Guy 416
 decadence 92, 219, 338
decadent novel 219–20, 339,
 635, 717
decadentismo 435
 decoding 660–1
 decolonial novelism 574–8
 decolonization 56, 357, 565,
 854–5
 deconstruction 696
 closure 195
 death of author 71
 Derrida 242, 806, 807
 feminist theory 298
 decontextualization 317
decorum 220–4, 327, 341
 Aristotle and Horace 221–2
 Renaissance and Baroque 222–4
 Dedlock, Lord (*Bleak House*) 175
 defamiliarization 316–18, 319, 699–700
 Defauconpret, Auguste 384
Um defeito de cor (Gonçalves) 99
definitions of the novel 224–33
 as art form 231–3
 debased/scandalous 226–8
 emergence as genre 225–6
 nationhood 228–30
 realism 230–1
 dehumanization 520, 521–2
 deixis 488, 795–6
 DeJean, J. 81, 389, 391
 DeKoven, Marianne 298–9
 Deleuze, Gilles 374, 806
 Delon, Michel 331
 Delsarte system of elocution 658
 Demidenko, Helen 485
 Democritus 39
 Denham, R. D. 526
 Denning, Michael 508, 844
 denotative realm 428
 Dent, J. M. 216
 Deppman, J. 279
 Derrida, Jacques
 deconstruction 242, 696, 806, 807
 fiction/non-fiction 303
 mimesis 231
 poststructuralism 806
 speech acts 798–800
 story/discourse 627
 undecidability 311
 works
La carte postale 292
Of Grammatology 71
 “The Law of the Genre” 71
 Des Forges, A. 733
 desacralization 509
 Descartes, René 46, 70
description 233–41
 attitudes 237–9
 early history 233–5
 general/particular 238
 James 233

description (*Continued*)

- medieval 234
- modernism 239–40
- omniscient 258
- Renaissance 235–6
- science 238
- time 236–7
- despotism/liberty 229
- Destutt de Tracy, Antoine 413
- detail in realism 667
- detective novel** 241–5
 - African American 17
 - British 124, 130
 - Carey's pastiche 3
 - character 242–3
 - class 244
 - Doyle 123
 - gender 245
 - hardboiled 244–5, 845
 - Italy 433
 - photography 616
 - postmodernism 245, 791
 - race 245
 - social space 848
 - sources 242–4
 - USA 833
- diegesis 200, 222, 529, 530
- Dial Press 276
- dialect** 245–50
 - Chesnutt 668
 - class 250
 - colonialism 246–7, 249
 - as comic device 246, 247
 - Italian novel 438
 - local-color writing 841
 - racism 248
 - realism 247
 - regional 847
 - vernacular 248
 - women writers 248
- dialogic 84, 86, 225, 250, 399
 - Bakhtin 253, 256, 424, 427, 591, 710, 807, 852
 - epistolary novel 288
- dialogue** 250–4
 - character 250
 - critical studies 253–4
 - Diderot 330
 - in novel 250–1
 - plot 250, 251
 - postmodernism 252
 - realism 231, 253
 - tagging 259
 - tense 801
- dialogue novel 252–3
- diasporic writing 744
- Díaz, Porfirio 516, 517
- dictatorship 406, 780
- dictatorship novel** 254–5, 787
- didacticism 282, 300
- Diderot, Dennis 608
- diegesis 802, 803, 804
- Dietetic Family Tree 552
- difference 4, 296
- digital media 217, 683, 684
- digital presses 601
- Dilthey, Wilhelm 94, 499
- Dime Detective* 736
- dime novels 243, 508
- Diogenes 39
- Dionysian principle 201, 206, 207, 405
- DiPiero, Thomas 224
- direct speech 493, 557
- direct thought 257
- Dirks, N. B. 386
- disability theory** 255–6
- disappearances 780
- disclosure functions 560, 593
- discours* 801, 803, 811, 812
- discourse** 256–61
 - Bakhtin 253, 257, 696–7
 - direct 257–8
 - discourse analysis 490
 - Foucault 71, 256, 262, 696
 - free 259–61
 - indirect 258
 - meaning 353–4
 - story-space 56, 535
 - tagged 259
 - see also* **story/discourse**
- disenchantment of world (Weber) 590
- disintegration novels 714–15
- disruption 520–3
- distancing 558, 603
- Diwan al-'Arab* 57
- Doan, Laura 741
- documentary 767
- documentary novel 723
- Doležel, L. 300, 301, 302, 536
- Dollimore, J. 738, 742
- domestic novel** 261–2, 352, 509, 587, 740–1, 836–8
- domestic realism 119–20, 122–3
- domesticity 648, 650–1

- Dominican American novel 470–1
 Dominican Republic 145, 146, 149–50, 152
 Donald, M. 199
 Donaldson, Alexander 677
Donaldson v. Beckett 213, 677
Dong Zhou lieguo zhi (Records of the Various States of the Eastern Zhou) 21
 Donkin, Bryan 598
 Donohue, Frank 689
 Doody, Margaret Anne 674
 Dooley, Allan C. 273
 doppelganger 634, 787, 789–90
 Doré, Gustave 420
 Dosse, F. 806
 Dostaler, Yves 139
 Douglas, James 157
 Dowd, G. 354
 Dowden, Edward 203
 Dowden, Ken 40
 drafts, rough 278
 drama, origins 201
 drama adaptations 6–8
 dramatic poetry 802
Dream of the Red Chamber Prize 185
 dreams 174
duanpian xiaoshuo (short stories) 178
 Dublin 126, 406
 Duff, D. 354
 Duncan, Ian 668
 Dunlop, John 392
 Dunn, P. 618, 619
 Dupuy, E. J. 511
 duration 550–1
 Dürer, Albrecht 419
 Durham, Lord 137
 Dutch East India Company 768
 Dutch East Indies 492, 495
 Dutch language 755
 Dutch novel
 fin-de-siècle 492–3
 modernism 494–5
 nineteenth century 491–2
 post-WWII 495–6
 postmodern 496–8
 twentieth century 493–4
The Dutch Rogue 105
 Dutroux, Marc 498
 Dutton, Dennis 200
 dying god archetype 54
 dystopic novels 719–20, 728, 729
 Eagleton, Terry 415, 505, 506, 564, 697–8
 Eakin, P. J. 483, 484
early American novel 263–7
 critical studies 263–4
 gothic 266–7
 imported British literature 263–4, 267
 national identity 264–6
 East Asian script 597
 East India Company 474, 745, 757
 Eaton, Marcia 798
 e-books 602
 École William Ponty 851
 ecological issues 728
écriture 426
écriture féminine 298, 350
 Ecuador 47–52
 Edel, L. 125, 636, 637
 Edgar, David 7
 Edinburgh 476
Edinburgh Magazine and Literary Miscellany 731
Edinburgh Review 684, 685–6, 688, 690, 691
 Edison, Thomas 659
editing 272–81
 Anglo-American 272–3
 authorial revisions 275–7
 early 272–3
 intentions, multiple 274–5
 literary proprietorship 273
 presentation methods 277–80
 product/process 279
 editions, pirated 328, 828
 Editorial Caminho 851
 education
 book industry 642
 censorship 159
 reform in British Isles 125
 syllabi 7
 Western Africa 851
 Education Acts (UK) 639
 Egan, S. 484
 Egidi, G. 198
 Egypt
 Ahiqar, Life of 35–7
 Britain 58
 calendar 36, 57
 Chariton on 36
 French invasion 58
 novelists 63
 tomb autobiography 37
 Ehrenpreis, Irvin 235
 Eichenbaum, Boris 593, 714
 Eichman, Boris 70
 Eighty Years' War 491

- Eikhenbaum, Boris 316
 “How Gogol’s *Overcoat* Is Made” 317, 714
- Eisen, Charles 419
- ekphrasis 233–5
- El Salvador 160, 161, 163, 471
- Elam 36, 39
- electronic literature 212
- electrotype 677
- Elephantine papyrus 37
- Eliot, Charles William: *The Harvard Classics Shelf of Fiction* 393
- Eliot, S. 640
- Elizabeth I, of England 383
- Elliott, Michael 55
- ellipsis 815
- elocution movement 657–8
- email 292–3
- Emerson, Caryl 86
- emotion 24, 305, 537
- empathy 199, 305, 306
- Encyclopaedia Britannica* 390
- Encyclopaedia Universalis* 425, 427
- The Enemy* 127
- Eng, David 351–2
- Engels, Friedrich 413, 414, 442, 505
- Engelsing, R. 656
- English, James F. 133
- English Canadian novels 138, 139
- English Civil War 213
- English identity 229
- English language
 alternatives 130
 colonialism 757
 India 745, 746–8
 Latino/a American novel 467
 Standard English 249
 Western Africa 851
- English literature
 as academic study 124
 canon 124, 128
 commercialization 75
 London Stationers Company 77
 novel-reading 228
 realism 393–4
 see also **British Isles**
- English Review* 127
- English School 128–9
- English Studies 694, 696, 698
- engravings 599
- Enlightenment
 capitalism 672
 epistolary novel 288
- individual reading 653
- narratives 607–8
- philosophes* 76
- progress 540
- rhetoric 693–4
- rise of novel 226
- Enochic corpus 40
- énoncé* 811, 812
- e-novels 601–2
- ephemera 676
- epic 281–8**
 ancient 281–3, 284–5
 Christianity 287
 comic 391
 decorum 221
 didactic 282
 ekphrasis 234
 as genre 283, 287
 Greek/Latin 281
 heroic 282
 memory 510
 mythological 281, 282
 narrative 537
 and novel 193–4, 440, 591–2
 oral 28
 parodic 282
 romance 703
 small-scale 282
 types 282–3
- episodic plot 620
- epistolary novel 288–94**
 American, early 264
 Canada 137
 Caribbean 150
 closure 195
 dialogic 288
 email/text messaging 292–3
 examples 224
 first-person narration 622–3
 France 327, 328
 Goethe 542
 as love story 290–2
 Mexican American 468–9
 Montesquieu 607
 narration 532
 Netherlands 491
 Pamela 108–9
 USA 834, 836
- Ermarth, Elizabeth 116
- eros 285–7
- Esarhaddon 36
- Escarpit, Roger 639, 642

- Esquire* magazine 276
 Esther narrative 36, 46
 Estonia 87–9
 Estrada Cabrera, Manuel 254
 Esty, Jed 126
 Ethiopia 267
 ethnic studies 649
 ethnicity 652, 744
 ethnographic imagination 55–6
 ethnography 53, 55, 68–9, 128–9
 Euripides
 Hippolytos 201
 Iphigenia Tauris 202
Europe
 information revolution 198
 modernity/race 649–50
 naturalism 568
Europe, Central 165–9
 defined 165–6
 impressionism 167
 narrative techniques 167
 national revivals 165
 post-communist 169
 realism 166–7
 Soviet Union 168
 see also specific countries
Europe, Northern 581–5
 modernism 583–4
 neorealism 583–4
 Nordic countries' novels 581–3
 post-WWII 584–5
 Scandinavia 581–5
 see also Scandinavia; specific countries
Europe, Southeastern 761–8
 defined 761–2
 international novel 767–8
 modernism 762–3
 postmodernism 766–7
 social realism 763–5
 socialist realism 765–6
 see also Balkan States
 European Union 217, 273
 evangelical novels 120
 Evans, Brad 55, 668
 evasion narrative 281, 285
 events 84, 533–4, 801
 Everton Public Library 478–9
Everyman play 537
 evolution 52–3
 exile 646, 783
 existentialism 340, 463–4, 495–6,
 575, 825
 existents 801
 expatriation 843
 experiencing-I 560, 561
 experimental writers 198, 464–5, 737
 expurgation 154, 156, 274
 extermination policies 781–2
 extradiegetic level 530–1, 552, 555,
 655, 805
 Fabi, M. G. 13
fabula 534, 593, 626–7, 801
 plot 317
 sjuzhet 546, 811, 812
 Fahnstock, Jeanne 698
 fairytale 5, 364, 540
 family
 breakdown theme 104–5
 foundational fiction 839
 gender roles 352
 Italian novel 436–8
 Korea 461
 as trope 650
 family epic 492, 493
 family romance 705
 Fancourt, Samuel 476
 Fanon, Frantz 96, 270
fantasy fiction 727–30
 British novels 130
 Dionysian 207
 examples 231
 futuristic 139
 heroic 728
 psychological 206–7
 romantic 112, 227
 satirical 107
 tragedy 205
 see also science fiction
Far From the Madding Crowd (Schlesinger) 8
 Fascism, rise of 158
 Fauconier, Gilles 200, 312
 Feather, J. 639, 640
 Felman, Shoshana 484, 629, 630, 799–800
 Feltes, N. N. 640
 female identity 164
 female protagonists
 bildungsroman 94
 British novels 108
 Chinese novel 185
 death 203–4
Female Subjects in Black and White (Abel, Christian
 and Moglen) 298
 femininity 262, 298, 351

- feminism
- American novel 845
 - Canadian novels 143
 - epistolary novel 292
 - France 296
 - international 292
 - Italy 436
 - marginalization 2
 - Marxist 350
 - psychoanalytic theories 350
 - race 350–1
 - Scandinavian novel 581
 - second-wave 129–30, 742
 - sexuality 351
 - Turkey 825
 - women writers 262
- feminist criticism 295–6, 296–7, 670–1
- feminist narratology 557
- feminist socialism 190
- feminist theory 295–9**
- author 73
 - deconstruction 298
 - diversity 299
 - Frankenstein* 297
 - gender 349, 350
 - history of novel 295–6
 - literary studies 295–6
 - modernism 298
 - poststructuralism 298
 - sexuality 739
 - technique, politics of 553
- fetishism 414
- Fetterly, Judith 669
- Feuerbach, Ludwig 413
- fiction 299–307**
- commercial libraries 475–7
 - as communicative act 302
 - conventions of 304
 - culture 130, 388–9
 - defined 299–300, 306
 - emotion 305
 - empathy 199
 - French literary theory 304
 - imagination 302
 - language 487
 - mimesis 301
 - narrative 301–2
 - novel 302–3
 - philosophy 301
 - pretense 303–5
 - propaganda 300
 - public libraries 478–9
 - realism 392–4
 - as social contract 303–5
 - in subscription libraries 474–5
 - truth 300
 - fictive reader 655
 - fidelity criticism 8
 - Fiedler, Leslie 255, 740
 - fieldwork, anthropological 53, 55, 56
 - Figueredo, D. H. 145
 - Le Figuier 851
 - figura* 175
 - figural narrative situation 559–60
 - figurative language**
 - blending theory 312
 - cognition **307–15**
 - as continuum 314–15
 - empirical studies 312–13
 - and literality 309–10
 - literary studies 313
 - novel 314, 698–700
 - and rhetoric **698–700**
 - figures of speech: *see* **figurative language**
 - Fiji Islanda 743–4
 - Filipinos 66, 67, 69
 - film adaptations 6–8, 232
 - British novel 125
 - figurative language 314
 - France 340
 - Great Expectations* 275
 - Japan 444
 - film books 759
 - fin-de-siècle 492–3, 635–6
 - Finkelstein, D. 638, 641, 642
 - Finnish language 88, 582
 - First Dimension 851
 - first editions/reprints 676
 - first-person narrative situation 560–1
 - Fischer, S. 368, 640
 - Fish, Stanley 696
 - Fishkin, S. F. 456
 - flashback 463, 532, 577, 812
 - flashforward 550
 - Flemish novel 491, 493–4, 496
 - Flesch, William 199, 200
 - Fletcher, Joseph 476
 - Flint, K. 353, 421–2, 657
 - flongs 599–600
 - Flores, Ángel 503
 - Fludernik, M. 257, 259, 548, 561, 795
 - focalization 126, 531, 551, 554, 795
 - Focus on the Family 159
 - Fogel, A. 253

- folklore 90–2, 103, 172, 546, 626, 670
folletines (serial novels) 403
 fonts 829
 Forceville, C. 314
 Ford, Henry 842
 foreignizing of literary translation 820
formalism 315–20
 aesthetic systems 318–19
 Canadian novel 142
 defamiliarization 316–18
 Iberian novel 405
 literary history 318
 modernism 316
 narrative 801
 Russian 18
 transformation 316–18
 see also Russian Formalism
 form/content 210–11, 231–2, 317, 376–7
 formula romance 705
 Forster, E. M. 593
Fortnightly Review 585, 691
 Foster, Frances Smith 12
 Foucault, Michel 806
 authorial discourse 79
 discourse 71, 256, 262, 696
 as influence 191, 297, 592
 madness 255
 realism/social control 615, 664
 sexuality 351
 technology of self 177
 works
 Discipline and Punish 415
 History of Sexuality 738–9
 The Order of Things 74
 “*What is an Author?*” 71, 73–4
 foundational fiction 516, 570, 839
 Fourah Bay College 851
 Fourdrinier machine 598–9
 Fowler, A. 354
 Fowler, R. 487, 489
 Fox’s Libel Act (UK) 215
 fragmentation 92
 Fraiman, S. 94
frame 320–4
 breaking of 323
 outer/inner worlds 320
 paratext 321–2
 France
 authors 75, 214
 book-privilege system 212
 canon 330–1
 colonialism 58
 comics 375
 copyright 328
 decadence 338
 decorum/verisimilitude 221
 detective novels 243
 editing 279
 feminism 296, 350
 freedom of press 79
 French Revolution 155
 historical novel 382–3
 illustration 419
 literary realism 660
 literary theory 304
 melodrama 508–9
 naturalism 156, 338
 novel
 Arabic translations 58
 Classical 223–4
 18th century 224
 English translations 324
 production of 328
 realism 334
 verisimilitude 341
 pirated editions 328
 Pléiade editions 280
 pornography 155–6, 329
 publishing 818
 serialization 336
 structuralism 319
 Symbolists 635
 women writers 81
France (18th century) 324–32
 anthologies 331
 canon 330–1
 classics 325–7
 comic novel 325
 and English literature 324
 epistolary novel 327–9
 Romanticism 331
 style 324–5
 supernatural tales 329–30
France (19th century) 332–40
 historical novel 334
 literary movements 332
 naturalism 338–9
 realism 334–8
 roman feuilleton 336
 Romanticism 332–4
France (20th century) 340–8
 deterritorialization 347
 Francophone novel 346–7
 historical novel 343–4

France (20th century) (*Continued*)

- ideology 345–6
- nouveaux romanciers* 342–3
- novel, rebirth of 340–2
- novel in crisis 340
- postmodernism 344–5
- Francia, José Gaspar Rodríguez de 254, 780, 787
- Franco, Francisco 412
- Franco, Jean 508
- Franco-German genetic editing 279
- François-Bourguignon, Hubert 419
- Francoism 406, 407, 409
- Francophone novels 64, 340, 853–4
- Frank, Joseph 792, 793
- Frankfurt School 416
- Franklin, Benjamin 474, 676
- Franta, A. 215
- Fraser's Magazine* 733
- Frazer, J. G. 53, 54, 525
- free indirect discourse 520, 633, 814
- free indirect speech 408, 493, 541
- free love 741
- Freedman, Ralph 210
- freedom of expression 75, 161
- freedom of press 79
- French Acadians 142
- French Canadians 136, 137, 138, 139, 141
- The French Rogue* 106
- Freud, Sigmund
 - and decadent novel 219
 - discourse 71
 - on Dostoevsky 629, 630
 - dreams 174
 - Familienroman* 705
 - fiction as release 300
 - identification 173
 - individualism 373
 - instinctual 493
 - melancholia 173
 - mythology 525
 - Oedipus complex 540
 - primitive 54
 - psychoanalytic theory 629
 - psychological novel 635
 - selfhood/unconscious 636
 - on sexuality 570, 643, 739
 - studies of novels 629
 - talking cure 251
 - tragedy 202
 - unconscious 342, 632–3
 - works
 - Civilization and Its Discontents* 643
 - “The Uncanny” 373
- Frey, James 485
- Friedman, M. J. 637
- frontier myth 528
- frontiersman fiction 247, 838
- Frost, Robert 483
- Frow, John 359
- Frye, Northrop
 - Anatomy of Criticism* 54
 - archetypes 225
 - fiction classified 175–6
 - mode of heroism 702
 - myth/literature 524, 525, 526–7, 528
 - narrative fiction 211
 - plot 539
 - romance 674, 705
- Fuchs, B. 702
- Fuentes, Carlos 788
- Fugitive Slave Law (USA) 686
- Fujikane, C. 66
- functional books 642
- Furst, Lilian 568
- futurism 436

- Galician language 412
- Galignani & Baudry 681
- Galignani Brothers 600
- Gallagher, Catherine 192
- games narratives 537–8
- Gandhi, Mahatma 744–5
- Gaozu, Emperor 23
- Garnett, Edward 273
- Garsdale Station library 480
- Gaskell, P. 272, 279
- Gastarbeiterliteratur* (guestworker literature) 368–9
- Gates, Henry Louis, Jr. 10, 652
- gaucho* sagas 98–9, 781
- Gavins, Joanna 200
- gay and lesbian writers 469, 644, 646, 742
- Gdansk 367
- Gebhard, C. 13
- Gedin, P. 640
- Geertz, Clifford 55
- Geiger, Don 658
- Gellner, E. 563
- gender relations 64, 391
- gender roles 352, 740
- gender theory** 349–53
 - as analytic frame 349
 - authorship 81
 - class 190, 785

- colonialism 295, 350, 651
 comparativism 211–12
 detective novel 245
 Eastern and Central Africa 267, 271
 feminist theory 2, 350
 genre 349, 352, 397
 Latina 784
 Marxist theory 507
 modernism 353
 performativity 351, 800
 power 349
 publishing 349
 race 650–1
 race/class 296, 351–2
 reader 689, 836
 revisioning of novel 349–50
 science fiction 729
 sexual difference 349
 sexuality 352–3
 subjectivity 352
 Turkey 824
A General History of Quadrupeds 419
 Generation of '98 405, 409
 generational revolt 766
 Genesis, book of 36
 genetic editing 279
 Genette, Gérard
 on Aristotle/genre 355
 classical studies 554
 communication model 550
 decorum 223
 description 240
 fiction 300
 focalization 531
 histoire/récit 546, 812–13
 intertextuality 426
 narration 801, 804
 narrative 529, 530–1, 547, 593–4, 801
 narratology 627
 narrators 552, 555–6
 Palimpsests 426–7
 paratext 321
 parole/langue 805
 on Plato 802–3
 proximation 4
 récit/histoire 811
 on Searle 304
 time 550–1
 tropes 698
 vision 551–2
 voice 553
Genji Monogatari 439–40, 442, 443–4, 450
genotext (site of significance) 425
genre theory 353–61
 Bakhtin 356
 comparativism 210–11
 cultural power 297
 filiation 807–8
 gender 349, 352, 397
 German Romantics 364
 graphic novel 376
 hybridity 486
 linguistics 356
 literary analysis 359–60
 literary theory 354
 narrative 535, 539
 neoclassicism 354–5, 357
 patronage 355
 poststructuralism 805–6
 professionalization 355
 proliferation of 359, 360
 realism 358
 rhetoric power 360
 Socrates 354–5
 style 358
 as symbolic action 359
 Todorov 356–7
 valorization 355
 Western traditions 357
 women's 295
 Geological Society 473
 George, Olakunle: *Relocating Agency* 209
 George II 480
 Gerassi-Navarro, N. 509
 German Jewish writers 369
German novel 361–9
 canon 362
 censorship 362
 dialect 248–9
 editing 279
 examples 362
 history and politics 361–2
 modernism 364–6
 multikulti 368–9
 national literature 562–3
 naturalism 568
 publishing/translation 361, 818
 Romantics 364
 stream-of-consciousness 365
 types 361
 women writers 366
 working through Nazi past 366–8
 Gernsback, Hugo 728
 Gerrig, R. 198

- Gerth, H. H. 590
Geschichte (story) 362
Geschichtesgedicht (history poem) 362
 Ghana 856
 Ghazoul, F. J. 578
 Ghent 491
 ghetto pastoral 844–5, 846
 G.I. Bill (USA) 847
 Gibbs, R. W., Jr. 309, 312, 313
 Gibson, A. 536
 Gibson, W. 656
 Gifford, D. 127
 Gikandi, Simon 128, 771
 Gikuyu language 268, 270
 Gilbert, Sandra 2, 296
 Gilmore, L. 483, 484
 Gilroy, Paul 132, 264, 649
 Ginzburg, Carlo 242
 Girard, R. 194, 591
 Glass, L. 216
 Glazener, N. 231
 globalization 48, 51, 132–3
 Godzilla 204, 206
 Goetsch, P. 246
 Goffman, Erving 255, 321
 Gold Coast 851, 853
 Goldman, Lucien 417, 506
 Goldman, Paul 422
 González, L. S. 470
 González Echevarría, Roberto 254
 good/evil conflict 497
 Goodheart, Eugene 274
 Goodman, Nelson 304
 Goody, Jack 671–2, 673
 Google Books 217, 684
 Gorbachev, Mikhail 716
 Gordon, John Watson 418
 Göring, Herman 300
gothic novel 369–74
 architecture motif 370
 British 120
 Canadian 135
 form 370–2
 marginalization 295
 Mitchell, I. 266
 as new form 206, 231
 plot 623, 625, 626
 realism 370, 373
 satirized 604
 Scandinavia 581
 sensation novel 509
 USA 834, 837, 838, 844
 Graaf, Robert de 641
 Graham, John 236
Graham's Magazine 689
 Grail legend 54, 705
 Gramsci, Antonio 210, 414, 438, 500
Grand Hotel 366
Grand Magazine of Universal Intelligence 731
Grande sertão veredas (Guimarães Rosa) 99, 103
Granta 133
 graphic design 830–1
graphic novel 374–8
 autobiography 376
 Canada 136, 144
 form 9, 376–7
 genre 376
 and illustrated novel 424
 internet 378
 Japan 449, 596
 life writing 485
 serialization 377
 sexuality 743
 grapholects 248
 Great Depression 140–2, 458, 844–5
 Great Dionysia 201
 Great Migration 10, 17, 844
 Great Proletarian Cultural Revolution 183
 El Greco 495
 Greece
 Albanian workers 767–8
 anti-realism novels 767
 avant-garde 764
 culture, ancient/modern 762
 Greek language writers 201
 historians 18, 19
 historical novels 765
 novelists 763, 764–5
 and Turkey 763
 Greenberg, Clement 665, 666
 Green-Lewis, Jennifer 615
 Greetham, D. C. 272, 279, 280
 Greg, W. W. 278
 Greimas, Algirdas Julien 87, 172, 426, 535, 546–7, 627, 805
grensliteratuur (border literature) 777
 Grewal, Inderpal 299
 Grice, H. P. 798
 Grossman, L. 503, 819
 grotesquerie 498
 Grove Press 159
 Gruppe 47 366–7
 Grusin, Richard 8
 Guadeloupe 145

- Guaraní language 780, 787
 Guatemala 95, 160, 161–2, 472
 Guattari, Félix 374, 806
 Gubar, Susan 2, 296
 Guevara, Che 96
 Guillén, Nicolás 146
 Guinea Bissau 856
 Gusdorf, Georges 512
 Gutenberg, Johannes 638
Guy of Warwick 701
 Guyana 145
 Gyldendals 640
 gynocriticism 296
- Haag, P. 739
 Haberly, David T. 569
 Habermas, Jürgen 288, 290, 473
 Hachette, Louis 600, 640
hadith (sayings) 57, 573
 Hagedorn, Richard 731
 hagiography 33
 Hagstrum, Jean 234
 Haight, G. S. 422, 625
 Haiti 144
 Haitian-Canadians 143
 Hale, D. J. 396, 629, 630, 697, 698
 Hall, Colette T. 212
 Haller, H. W. 247
 Halliday, M. 489
 Hamburger, Käte 559, 814
 Hamon, P. 172–3, 238, 240
 Han Dynasty 20, 23, 24, 25, 382
Han shu (History of the Han) 18, 24
 Handel, Georg Friedrich 148
 Handler, Richard 55
 handpresses 599
 Hanuman 27
 Haraway, Donna 242
 hardboiled detective novel 244–5, 845
 Hardt, Michael 189
 Hardy, B. 625
Hardy Boys Mysteries series 244
Harivamsha 29
 Harkness, Bruce 280
 Harlem Renaissance 13–14, 844
 Harper Brothers 600, 640, 678, 680
Harper's 671
Harper's Bazaar 737
Harper's Monthly 734
Harper's New Monthly Magazine 730
 Harris Automatic Press Co. 600
 Harrison, James 678
- Harrison, Jane 525
 Harsha, king of Kanauj 33
 Hart, Frances Russell 130
 Harvey, J. R. 418
 Harvey, Robert C. 376
Haskalah (Jewish Enlightenment) 379
Havelok the Dane 701
 Hawai'i 66, 68
 Hayles, N. Katherine
 Electronic Literature 212
 How We Became Posthuman 212
 My Mother Was a Computer 212
 Writing Machines 212
 Hayward, Jennifer 731
 Hazlitt, William 228–9
 Hebdige, Dick 415
 Hebrew Bible 379
 Hebrew language 379, 454
Hebrew novel 379–81
 Hebrew/Yiddish 379–80
 Palestine 380–1
 realism/modernism 380
 Zionism 380, 381
 Heckerling, Amy 8
 Hector and Andromache 286
 Heep, Uriah (*David Copperfield*) 175
 Hegel, Georg Wilhelm Friedrich 93, 210, 499, 505,
 587–8, 673
 Hegeman, Susan 55
 Heidegger, Martin 675
Heimatkunstabewegung (homeland art
 movement) 248
Heimatliteratur (homeland literature) 248
 Heinemann African Writers series 131, 778
 Heinemann publishers 131, 851
 Hellinga, W. G. 831
 Hellman, J. 459
 Hemmungs Wirtén, E. 218
 Henderson, M. 350
 Hennequin, Émile 587
 Henninger, Katherine 616
 Herbert, Christopher: *Culture and
 Anomie* 55
 Herder, Johann Gottfried 89, 93, 310, 562,
 566, 667
 *Outline of a Philosophical History of
 Humanity* 563
 Stimmen der Völker in Liedern 91
 Treatise on the Origin of Language 563
 Volkslieder 91
 heredity theories 339, 570
 heritage industry 132

- Herman, D. 197, 200, 489–90, 536, 537, 548, 551–2, 795
- hermeneutics 627, 693
- Hermocrates of Syracuse 44
- Herodotus 22, 23, 52
- heroes 121, 539
- heroic epic 461
- heroic tragedy 355
- heroines 2, 539
- Herskovits, Melville 668
- Herzberg, B. 694, 695
- Hesse, Carla 81
- heterodiegetic level 530–1, 552, 553, 554, 805
- heteroglossia 37, 85, 225, 399, 506, 552, 852
- heterosexuality as norm 643
- hexameter, for epic 282
- Hicks, Granville 506
- hidayet romani* (Islamic novel) 825
- Higonnet, Margaret 212
- hikaya* (tale) 57, 573
- hikayat* (Malayan epic) 751
- Hinduism 745, 746
- Hirsch, E. D. 72
- Hirsch, M. 94, 96, 367
- Hirschkop, Ken 86
- Hispanic America 467, 486, 781
see also Latin America
- Hispanophone countries 63
- Histoire de Dom Bougre* (Anon) 329
- histoire* (history) 223, 325, 529, 627, 801
récit 546, 811, 812, 813
- Historia de Jacob Xalabín* (Anon) 400
- Historia del abencerraje* 400
- historical novel 381–6**
- Canada 136
 - Central American 161
 - China 381–2
 - and epistolary novel 292
 - France 382–3
 - French 343
 - Greece 765
 - Iran 428
 - Lukács on 501
 - Mexican American 467–8
 - Netherlands 491
 - Old Israelite 37
 - recent past 385–6
 - Scott 119, 333, 383–5
 - Yugoslavia 765
- Historical Records: see Shi ji* (Sima Qian)
- historiography 142, 189–90, 284, 391–2, 539, 847
- history
- anecdotes 18, 22, 24, 26, 37
 - of the book 117
 - emotion 24
 - evidence 18
 - German 362
 - itihasa* 24
 - memory 512
 - narrated 388, 389
 - new 396–7
 - and novel 754, 833–4, 835
 - reinvented 164
 - rewritten 167
 - romance 392–4, 703–4
 - secret 704
- History of Alexander* 42
- History of the Great World Conqueror* 42
- History of the Han: see Han shu*
- history of the novel 386–98**
- ancient and modern 389–90
 - canon 386
 - feminine vs. masculine 390–2
 - new histories 396–7
 - realism 392–6
 - romance 388–9
 - time/change 386–8
- History of the Three States: see Sanguo zhi*
- Hitchcock, Peter 508
- Hitchcock, Ripley 276
- Hobsbawm, E. 563
- Hoe & Co. 599
- Hoever, D. L. 297
- Hogan, Patrick Colm 200
- Hogarth, William 419
- Hogarth Press 274
- Hogg's Instructor* 687–8
- Holden, Philip 756, 757
- Holland 214
see also Dutch novel; **Low Countries**
- Hollowell, J. 458
- Holocaust 169, 453, 860
- Holocaust narratives 381, 410, 528
- Holquist, Michael 86, 87
- Holy Roman Empire 361
- Holzberg, N. 285
- Homeric epics 19
- homodiegetic level 530–1, 552, 554, 805
- homoeotericism 643–4, 740
- homophobia 644
- homosexuality
- Afro-Protestants on 15
 - Butler 742
 - censorship 157, 159

- in Cuba 646–7
 repressed 675
 in *Ulysses* 741
 Victorian age 299
see also **queer novel**
- Honduras 160
Honggaolian film 185
Honglou meng (Shitou ji) 179, 180
Hongxue 180
 Hooke, Robert 238
 Hooker, M. B. 753
 Horkheimer, Max 416
 Horowitz, H. L. 739
 Houghton Mifflin 640
Household Words 117, 123, 457, 732
 Houyhnhnm Press 280
 Howe, Irving 451
 Howe, Susanne 94
 Howells, William Dean 55, 588, 660, 665–6, 692, 732, 734, 740, 841
 Howitt, Peter 538
Hridayadarpana 32
 Huet, Pierre-Daniel 386, 388, 391, 706
 Huggan, Graham 133
 Hughes, Linda K. 731
 Hughes, Winifred 509
 Hull, G. 350
 Hult, David 193
 humanism 46, 70, 170–2
 humanities 190
 Humboldt, Wilhelm von 89, 93, 95, 667, 817, 820
The Hunchback (Grossman) 819
 Hungary 166, 499, 500
 Hunt, Lynn 672
 Hunter, I. 170
 Hunter, J. P. 656, 673, 674
 Hurt, Jakob 88
 Hus, Jan 167
 Husserl, Edmund 796
 Hustvedt, Asti 219
 Hutcheon, L. 142, 514, 627
 Hutchins, Henry Clinton 828
 hybridity in genre 486
 hyperbaton 698
 hyperbole 307, 698
 hypertext novels 323–4, 601–2
 hypertextuality 427
 hypodiegetic level 530–1, 805
 hypogram 427
- Ibadan, University of 851
Iberian peninsula 399–412
- Castilian literature 399–400, 401–2
 Catalan literature 400–1, 404, 407–8
 Catalonia 407–8
 chivalric prose 701–2
 Franco 412
 Iberian vernacular 400–1
 modernism 403–4
modernista 404
 novel of memory 410–12
 polyphony 411
 Portuguese literature 271, 399–400, 401–2, 403, 409–10
 realism 402–3
 sentimental novel 401
 Spanish Civil War 406, 407
 Spanish language 404–7
see also Cervantes *in Index of Authors*; specific countries
- Ibn Khaldoun 571
 Ibsen, Henrik 499, 582
 Icelandic sagas 581
 Ichioka, Yuji 68
 identification
 - character 173
 - domestic realism 122
 - emotional 654
 - intertext 427
 - queer novel 643
 - reader 587
 - recognition 427, 428
 - types of 175
- identity
 - authorship 75
 - Canada 135
 - collective 264
 - crises of 435
 - ethnicity 744
 - gender 778
 - middle-class 118
 - national 229, 295
 - national history 744
 - novel-reading 230
 - public/private 834
 - religion 744
 - sexuality 742–3
- Ideological State Apparatuses 71
ideology 413–17
 - Althusser 71
 - Barthes 415
 - enforced 91
 - Engels 414
 - Gramsci 414

ideology (*Continued*)

- hegemonic 256
- Mannheim 414–15
- Marxism 413–14, 415–16
- meaning 697
- nation 563
- novel 168
- photography 612
- picaresque novel 618
- realism 663
- reification 416
- rhetoric 696–7
- utopian 416–17
- Žizek 416
- idiom 307, 308
- idiomaticity study 313
- Igbo community 855
- illegitimacy 460–1
- illocutionary acts 304, 797–8
- illustrated novel** 418–24
 - children's fiction 423–4
 - decline of 422–4
 - and graphic novel 375, 376
 - history of 418–19
 - literary criticism 421–2
 - photography 615
- illustrations 639, 680–1
- illustrators 117–18
- imagination 300, 302, 497
- imagined community 228, 263, 264, 564, 565, 668
- imitatio vitae* 401
- imitation: *see* mimesis
- Imjinnok* (Black Dragon Year) 461
- immigrant novelists 143
- immigration 129, 143, 451–2
- imperialism 650–1, 769–70, 818
 - see also* colonialism
- impressionism 167
- Inada, Lawson 68
- incest motif 104
- incitement to racial hatred 154–5
- inculturation 855
- Independent* 690
- Index Librorum Prohibitorum* 154, 401
- India
 - Copyright Act 215
 - diaspora 743
 - English language 745, 746–8
 - independence 129
 - mythology 747
 - Partition 746
 - philosophy in novels 611
 - reprint trade 682
 - subscription libraries 474
 - vernacular language education 215
- Indian Americans 69
- Indian peoples, Central America 162
- indianista* novels 49, 101
- Indic script 597
- indigenismo* concept 49, 50, 161
- indigenista* novels 49
- indigenization 855
- indigenous languages 267–8, 271
- indigenous peoples 51, 137, 140, 781–2
- indirect speech 557
- individual 53, 512, 592, 752
- individualism 79–81, 373
- Indo-European languages 87
- Indonesia 492, 495, 751–2, 754
- industrial novel 192
- Industrial Revolution 639
- industrialization
 - British Isles 190, 639
 - Canada 140
 - capitalism 648
 - Italy 436
 - Korea 463
 - paper-making 597, 598
 - photography 600
 - printing 600–2
 - publishing 639
 - race 649–50
 - Stalinist 720
 - USA 840
- information processing 319
- information revolution 198, 729
- Inhyŏn wanghu chŏn* (Tale of Queen Inhyŏn) 461
- inner life in novel 126, 332, 592, 614, 633, 834
- Innes, C. L. 127
- instinct, Freud 493
- institutions, social 52, 53
- integrationism 9, 11
- intellectual property rights 76, 78, 641, 676–7, 683
- intention, author 70, 425, 427
- interior monologue 517, 529, 633, 634
- Interkulturelle* term 368
- interlingualism 150
- internalization 53
- international copyright law 678–9, 680, 682–3
- International Phonetic Alphabet 246
- International Typographical Union 683
- internet 132, 378, 485, 602, 642, 716
- interpellation 415
- interracialism 11

- intertext 425–6
- intertextuality 424–8**
- adaptation 1
 - decadent novel 219
 - detective novel 244
 - examples 6
 - film 8
 - illustration 419
 - Joyce 4
 - Latvian writing 92
 - poststructuralism 808
 - reading 3, 5
 - social criticism 11
- intradiegetic level 530–1, 805
- Intrigues of the Warring States*: see *Zhanguo ce*
- introductory tags 259
- introspective techniques 164
- Ionia 36, 37, 38, 39
- Iowa, University of 187
- Iran 428–32**
- Assyrian court 38
 - censorship 153, 154
 - Constitutional Movement 430
 - feminist movement 431, 432
 - Mazdaism 39, 40
 - Mosaddeq overthrown 65
 - nationalism 429
 - post-revolutionary novels 431
 - see also Persian novel
- Iranian Empire 35, 36, 37, 38, 39, 40
- Iran–Iraq war 431
- Iraq 58, 59, 63
- Ireland 131, 214, 670, 678
- Irigaray, Luce 73
- irony 94, 307, 308, 542, 698, 846
- Iser, Wolfgang 9, 225, 548, 656
- isiNdebele language 775
- isiXhosa language 773, 774
- isiZulu language 774, 775
- Iskandarnāma* 41
- Islamic world
- Arabic literate culture 46–7
 - censorship 154
 - existentialism 575
 - see also **Arabic novel**
- Islington Daily Gazette* 478–9
- Israel 63, 380–1, 453
- Israeli–Palestine conflict 497
- Istanbul 824
- Italy 432–8**
- colonies 58
 - editing 279
 - emigrants to Argentina 569
 - feminist movement 436
 - futurism 436
 - industrialization 436
 - and Libya 58, 577
 - literature 432–3
 - neorealism 436
 - novel 433–8
 - publishing/translation 818
 - Risorgimento* 433
 - urbanization 436
- iterability principle 799
- itihasa* (history) 29, 30
- Ives, S. 247
- Ivory, James 7
- Jackson, Dennis 273
- Jacobean revenge tragedy 539
- Jacobite rebellions 120
- Jahn, M. 259, 548, 551
- Jaina tradition 33, 34
- Jakobson, R. 70, 310, 316, 319, 805
- Jama ‘at tahta al-sur* (Tunisian independence movement) 575
- Jamaica 144
- Jamaican immigrants 129
- James, C. L. R. 506
- James, Henry 535, 589
- see also *Index of Authors*
- James, William 570, 634, 636
- Jameson, Fredric 416
- on Balzac 417, 663
 - on Conrad 417
 - decoding 660–1
 - on Forster 126
 - on Gissing 417
 - and Lukács 500
 - on Lukács 501, 505
 - Marxism 504, 507
 - realism 663, 665
 - science fiction 508
 - space 848
 - works
 - The Modernist Papers* 417
 - The Political Unconscious* 125, 191, 359, 417, 507
- Japan 439–50**
- comics 375, 376
 - empire 440
 - film 444
 - graphic novel 449, 596
 - Kabuki theater 204

Japan (*Continued*)

- kanji* script 596
- and Korea 462
- literature in colonies 441
- love stories 202–3
- Meiji Restoration 441, 509
- novel 439–41, 444–9, 508
- public libraries 479
- woodblock prints 596, 597
- Japanese, internment of 67
- Japanese Canadians 69, 143
- Jaspers, Karl 35
- Jauss, H. R. 176, 356, 656, 816
- Javanese *pakem* (prose summaries) 751
- Jazz Age 13
- jeans prose 766
- Jefferson, Thomas 11, 840
- Jeffreys v. Boosey* 681
- Jenny, Laurent 424, 426, 427
- Jewish American novel** 450–5
 - class 452
 - defined 450–1
 - identity 454–5
 - politics 452
 - postwar 453–5
 - race 453–4
 - WWII 451–2
- Jewish people 454, 455, 564
- Jewish writers
 - in Dutch 498
 - in German 369
 - Ukrainian 720
- Jin Dynasty 24
- Jin Ping Mei* (*Plum in the Golden Vase*) 27, 179–80
- Johannot, Aimé de Lemud 418
- Johannot, Tony 418
- Johns, Adrian 79
- Johnson, Barbara 298, 627
- Johnson, C. L. 349, 352
- Johnson, Charles S. 13
- Johnson, E. 732
- Johnson, Mark 198, 310–11
- Johnson, N. 547
- Johnson, R. 104
- Jolles, André 620
- Jolly, M. 482, 483, 486
- Jones, A. 350
- Jones, Anna Maria 510
- Jones, E. Y. 613
- Jones, P. 607
- Jonson, Ben 456
- Jonsson, S. 610
- Jordan 58
- Jordan, David 670
- Joseph and Aseneth* 40
- Joseph cycle 36
- joual* dialect 142–3
- Journal des débats* 731
- journalism** 455–9
 - early 456
 - information source 198, 672
 - new 457–9
 - newspaper novel 456–7
- journals, reviewing 685–6
- Journey to the West*: see *Xiyou ji*
- Joyce, Patrick 190
- Joynson-Hicks, William 158
- Juárez, Benito 516
- Judaea 36
- Jung, Carl G. 525, 570, 637
- Jusdanis, Gregory 762
- Kabuki theater 204
- Kachun, Mitch 10
- Kalila wa Dimna* 36, 40, 44, 58, 573
- Kallendorf, C. 693
- Kalliney, Peter 129
- Kamshad, H. 428
- Kanaev, Ivan Ivanovich 83
- kanji* script 596
- Kannemeyer, J. C. 775
- Kansas City Star* 456
- Kant, Immanuel 80, 310
- Kantaris, E. G. 790
- KAPF (Korea Artista Proleta Federatio) 463
- Kaplan, Alice 821
- Kaplan, Amy 671
- Kaplan, C. 2, 3–4
- Karatani, Kojin 417, 444, 508
- katha* (story) 32, 34
- Kathasaritsagara* (Ocean of Rivers) 31
- Kauffman, Linda 292
- kavya* (poetry) 30, 32, 33, 34, 35
- Kavyadarsha* (Mirror Poetry) 32
- Kavyalamkara* (Ornament of Poetry) 32
- Kawanishi Masaaki 449
- Kazakh writers 722
- Keating, Peter 125
- Keats, John 234
- Keen, Suzanne 199
- Keener, F. M. 607
- Keirstead, T. 391
- Kelsall, M. 239

- Kemalist Cultural Revolution 822, 824–5
 Kemble, Edward Windsor 422
 Kennedy, John F. 276
 Kent, Rockwell 420–1
 Kenya 268, 269, 270
 Kermode, F. 193, 525, 528
 Kern, Stephen 128
 Kernan, A. 602
 Khouri, Norma 485
 Khrushchev, Nikita 721
khurafah (fable) 57
Khwan phayabat (transl. of Corelli) 758
 Kierkegaard, Søren 505, 534
 Kilito, Abdelfattach 574
 Kim Ilsung 465
 Kim Yunshik 441
 King, John 787
 King, Katherine Callen: *Achilles* 209
kingu drama 206
 Kintanar, T. B. 751
 Kiss, Csaba G. 165
 Kiswahili language 270
Kitab alf layla wa layla: see *Thousand and One Nights*
 Klebs, Elimar 284
 Klopstock, Friedrich Gottlieb 278
 Klossowski, Pierre 820
 Kneehigh Theatre 7
 Knight, F. W. 145
 Knights, L. C. 171
 knowledge/rhetoric 693–4
 Koch-Grünberg, Theodor 102
 Koelb, Clayton 209
 Koenig, Friedrich 599, 639
 Komar, Kathleen L. 209
 Kontje, T. C. 96
 Koop, Matthias 599
 Korchagin, Pavel 721
 Korea 463–4
 women writers 464
Korea 460–6
 Chōson Kingdom 461–2
 colonialism 463
 experimental writers 464–5
 family 461
 feudalism 67
 heroic epic 461
 industrialization 463
 Japanese language literature 463
 liberated from Japan 463–4
 modernity 462–3
 nationalism 462
 nativist writers 463
 novel 440–1, 460–6
 romances 461
 Russian Revolution 463
 socialist realism 465
 women writers 461
 Korea Artista Proleta Federatio (KAPF) 463
 Korean Americans 69
 Korean script 460
 Korean War 463–4
 Kotin Mortimer, Armine 194
 Krafft-Ebing, Richard 219
 Kraków 89
 Kremer, N. 223
 Krentz, Christopher 256
 Krieger, Murray 195
 Krishna 29
 Kristal, Efraín 211, 781
 Kristeva, Julia 424, 425, 426, 427, 806
 Kruger, Paul 776
Künstlerroman (novel of development) 96,
 363, 364
 see also **bildungsroman**
Kunstmärchen (artistic fairytales) 363
 Kurlansky, M. 145
 Kurosawa, S. 441
Kurutta ichipeiji (Kinugasa Teinosuke) 444
 Kuwait 62, 64
 Kyrgyz writers 722

 labor migration 649
 Labov, William 533, 798
 Lacan, Jacques
 and Althusser 415
 on Duras 629, 632
 on Joyce 629
 phallus 632
 psychoanalytic theory 242, 629
 sexuality 739
 and structuralism 806
 and Žižek 416
Ladies' Home Journal 734
Ladies' Magazine 731
 Lafargue, Paul 504
 Lagerkvist, Pär 584
 Lakoff, George 197, 310–11
 Lamarque, Peter 300, 301, 304, 305
 Lämmert, Eberhard 210
 Landseer, Edwin 418
 Lane, Allen 641
 Langacker, Ronald W. 489
 Langbauer, Laurie 731
 Langland, E. 94

- language
 class 190
 creativity 700
 dialect 245–50
 Eastern and Central Africa 268
 fiction 487
 humanity 633
 literal/figurative 314–15
 meaning 307
 National Socialism period 366–8
 reality 496–7
 Russian formalism 487
 Saussure 805
 style 487
 subjectivity 632
see also **figurative language**
- language acquisition 197
 language memoirs 821
langue (system of language) 487, 545–6, 549, 805
 Lanham, Richard 700
 Lanser, Susan S. 553, 558, 561
Lao Can youji (Travels of Lao Can) 180
 Laos 757, 760, 761
 LaPorte, N. 519
 Larkin, Philip 157–8
 Lascelles, M. 395
 Lasher, L. 453
 Lasowski, Patrick Wald 331
 Latham, S. 216
 Lathrop, George Parsons 661
Latino/a American novel 467–72
 Boom novel 254, 606, 611
 Cold War 508
 exiles from 783
 magical realism 503, 671, 675
 Nordic literature 581
see also **Southern Cone (South American)**
- Latour, Bruno 172
 Latvia 87, 91–3
 Laub, D. 484
 laughter as resistance 85
see also **comedy and tragedy**
- Lauretis, Teresa de 350
 Lausberg, H. 307
 Layoun, M. N. 395, 508, 652
Lazarillo de Tormes (Anon) 105, 401, 619
 Le Lionnais, François 344
 Le Man, S. 419
 Leal, Luis 503
 Lean, David 8, 275
 Leavis, F. R. 128, 130, 396
 Lebanese Civil War 64
 Lebanese immigrants 143
 Lebanon 58, 62, 63, 64, 65
 Lecker, R. 566
 Lee, R. 652
 Leech, G. 257, 487, 489
 Leech, John 422
 Leeds Library 473
 Lefebvre, Henri 415, 416, 669
 Leff, L. J. 735
 Legouvé, Ernest 658
 Lehmann, John 129
 Leibniz, Gottfried Wilhelm 210, 400, 608
 Leighton, Frederic 418, 422
 Lemire, Maurice 136
 Lemon, L. 316
 Lempira 162
 Lenin, Vladimir Ilyich 505, 719
 Lentricchia, Frank 506
 Lepère, Auguste 424
 Lernout, G. 279, 280
 lesbian love 644, 646, 741
 lesbianism 739
 LeSeur, G. 96
 Lessing, Gotthold 536, 792, 793
 letters, fiction in: *see* **epistolary novel**
 letters, for news 289–90
 letter-writing, teaching of 289
Lettres portugaises (Alcoforado) 195, 290
Lettres portugaises (Anon) 106
Lettres portugaises (Guilleragues) 223, 288, 290, 327
 Levantine–Mediterranean culture 35, 39
 multi-ethnic 45
 text networks 43, 46
 tributary state system 35–7, 40–3, 45–7
 Levin, Harry 661
 Lévi-Strauss, Claude 54, 162, 546
 Levy, L. 820
 Lewes, G. H. 587, 613, 634, 636
 Lewis, David 302
 Lewis, R. W. B. 528, 837
 lexia 534
Lexicon deutschsprachiger Schriftstellerinnen 369
lexis/logos 803
 Li Xuande 382
Liaisons dangereuses (films) 329
 libel 212, 215, 216
 libertine novels 327, 329, 330, 331
 liberty/despotism 229
libraries 472–82
 circulating 117, 475–7, 640
 coffee houses 476

- hidden 479–80
- historical 472
- lending libraries 600
- literacy 472–3
- miners' institutes 474
- for the people 472
- working class 474
- Library Company of Philadelphia 474, 476
- Library of America 280
- Libro de buen Amor* 617
- Libya 58, 63, 65, 572, 577
- Licensing Act 77, 213
- Life of Ahiqar* 35–7, 38
- life writing 482–6**
 - Brazil 99
 - developments 483–5
 - graphic novel 485
 - history of 483
 - Jewish American 451
 - as literature 485–6
 - memory 485
 - newspaper novel 456
 - technological innovation 485
- life/journey metaphor 198
- Lim, S. 757
- Lima, M. H. 96
- Lincoln, Abraham 539
- Linde, C. 484
- Linguet, Simon-Nicolas-Henri 76
- linguistics 486–90**
 - dialogue 250
 - fiction 304
 - genre 356
 - and novel 487–90
 - structuralism 545–6
- linotype 599, 601
- literacy
 - Africa, Western 852
 - British Isles 115, 125
 - early American 265
 - French Revolution 155
 - growth in 653, 676
 - libraries 472–3
 - printing presses 598–9, 638
- literariness 70, 316, 318, 704
- literary agents 640
- literary awards 132, 626
- Literary Copyright Association, China 217
- literary criticism
 - ethical turn 497
 - illustrated novels 421–2
 - national literature 564–5
 - novel 328
 - philosophical novel 610–11
 - photography 614–16
 - psychological novel 636–7
 - Russia 709–10
- literary history 318, 394, 510–11
- Literary Journal* 687
- literary journalism 518
- literary nationalism 518–19, 852
- literary proprietorship 77, 273
- literary realism 405, 615, 660
- literary studies
 - cultural studies 351–2
 - feminist theory 295–6
 - figuralità 313–14
 - genre 354
 - materialism 505
 - Russian formalists 316
- literature
 - academic study of 564
 - class politics 564
 - commercialization 75, 133
 - as social system 318
 - socialism 505
- lithography 419, 600
- Lithuania 87
 - folklore 90
 - forbidden themes 91
 - intellectuals in exile 90
 - language 89
 - narrative 89–91
 - poetic genre 90–1
 - postmodernism 91
- litotes 698
- littérature de la banlieue* (literature of the ghetto) 340
- littérature engagée* (committed literature) 345
- The Little Review* 156, 736
- Livro del cavallero Zifar* (Books of the Knight Zifar) 399–400
- Lobeira, João 401
- Lobeira, Vasco de 401
- local-color writing 841
- Locke, Alain 13
- Locke, John 310, 694
- Lodge, D. 256, 258
- logos/lexis* 803
- London
 - detective novel 244
 - of Dickens 373
 - population growth 473
 - post-WWII 129–30

- London (*Continued*)
 publishing 131
 Sherlock Holmes 303
 Woolf 126
- London Book Society 476
- London Library 473
- London Magazine* 731
- London Review* 691
- London Stationers Company 77
- Longman, William 639
- Longman African Writers 851
- Lopes, José Manuel 239
- Los Angeles 845–6
- Los Angeles Times* 737
- Lotman, Iurii 317, 319, 320
- Louis II 382
- Louis XIII 222
- Louis XIV 222, 334, 382
- Lounsbury, Anne 669
- love stories
 Chinese fiction 187
 epistolary novel 290
 same-sex 644
 Spanish 401, 403
 Western traditions 202–3
- The Loves of Clitophon and Leucippe* 389
- Lovett, William 474
- Low Countries 491–9**
 fin-de-siècle 492–3
 modernism 494–5
 nineteenth century 491–2
 postcolonial discourse 498
 postmodernism 496–8
 post-WWII fiction 495–6
 twentieth century 493–4
see also Dutch novel; Flemish novel
- Lubbock, Percy 535, 557
- Lucid, D. P. 320
- Lucie de Lammermoor* 555
- Luis, W. 145
- Lukács, Georg 499–502**
 and Bakhtin 87
 on Balzac 661–2, 663
 bildungsroman 93
 class 500
 on Hegel 673
 immanence of meaning 673
 literary type 175
 melancholy 594
 modern novel 47
 novel/epic 285, 389, 391, 511, 585, 591
 on photographic style 613
 psychological novel 637
 on realism 396, 501, 665
 on Scott 384
 time 500
 on Tolstoy 675
 works
Geschichte und Klassenbewußtsein 416, 500
Der historische Roman 501, 505
A lélék és a formák 499
 “Narrate or Describe” 239
Die Theorie des Romans 285, 499, 505
- Lun yu (Analects)* 25
- Lund, Michael 731
- Lusophone literature 63, 779, 853, 854, 856
- Luther, Martin 361
- Lutz, Catherine 616
- A luz no subsolo* (Cardoso) 99
- Lynch, Deirdre 176, 230
- lynching 834
- Lyotard, Jean-François 142, 540, 806
- lyrical poetry 355, 537
- Al-mabahith* review 575
- MacArthur, Elizabeth J. 195
- Macaulay, Thomas 745
- Macdonald, D. 459
- Macherey, Pierre 415, 506
- machine translation 319
- Macía, Francesc 407
- Macmillan 216, 639, 682
- Macmillan's Magazine* 733
- Madero, Francisco 516
- Madres de la Plaza de Mayo 780
- Madrid 405, 406
- Maghreb, North Africa 571–81**
 colonialism 574–8
 decolonialism 574–8
 defined 571–2
 Dutch language novels 580
 English language novels 580
 Italian language novels 580
 multilingualism 578–80
 novel forms 572–4
 novelists 63, 65
 Spanish language novels 580
 translations 574
see also specific countries
- magical realism 503–4**
 Andean novel 51
 British Isles 131
 Caribbean 147
 Carpentier 147, 666

- Central America 162
 comedy/tragedy 206
 Eastern and Central Africa 271
 historical novel 385
 Latin America 671, 675, 725
 Mo Yan 185
 Mozambique 779
 rejected 515
 religion 675
 Russian novel 725
 Scandinavian novel 585
 South Africa 773
 Turkey 826
 magistrate tales 242
 Magritte, René 494
 Maguire, R. 720
Mahabharata 28–30, 31
 Mailloux, Stephen 693
 Maine, Henry 53
mal du siècle 332
 Malan, D. F. 771
 Malawi 267, 268, 270, 779
 Malay language 755
 Malaysia 743–4, 751, 754, 755, 756
 Mali 856
 Malinowski, Bronislaw 53, 128, 525
 Mallios, P. 125
 Mallorcan literature 411
 Malthouse 851
 Man, Paul de 311
 Manchester Literary and Philosophical Society 473
 Manchu rule 386, 461
 Mandarin Ducks and Butterflies school 181, 187
 Mandel, Ernest 508
 Mandler, J. M. 547
manga (comic books) 376, 596
 Manganaro, Marc 55, 527
 Mannheim, Krl 414–15
manvantaras (ages of the world) 30
 Mao Zedong 183
maqama (narrative genre) 58, 60, 63, 573, 574, 617
 Maravall, José Antonio 617–18
 Marburg School 84
 Marcus, L. 130
 marginalization 1–2, 255, 295
 Margolin, U. 561
 Mariátegui, José Carlos 49
Marita (A. Native) 853
 marketplace for books 132, 217–18, 686–7
 Marmontel, Jean-François 224, 237–8
 Márquez, Ismael 48–9
 marriage
 arranged 286
 conversion 46
 domesticity 836–7
 eros 285–7
 Lawrence on 521
 plot 53
 slavery 2
Marriage Destinies to Awaken the World: see Xingshi yinyuan zhuan
 Marsh, J. 215
 martial arts novels 187
 Martin, Gerald 254
 Martinez-Sicat, M. T. 753
 Martínez-Vergne, T. 145
 Martini, F. 96
 Martinique 145
 marvel plays 206
 Marx, Karl 96
 commodification 500, 509
 discourse 71
 Lukács on 499
 reader of novels 504
 works
 Capital 188, 189, 414, 510
 Communist Manifesto 191
 A Contribution to a Critique of Political Economy 413–14
 The German Ideology 413
 world literature 442
 Marx, Leo 528
 Marxist feminism 350
Marxist theory 504–8
 class 188, 507
 gender 507
 Gramsci 210
 as influence 855
 Jameson 504, 507
 materialism 413–14
 religion 413
 Thai novel 759
 in Turkey 826
 Mary, Queen of England 213
 masculinity 332, 351, 352, 740, 742
Mashreq: see Arabic novel
 Mass Observation Archive 481
 Massenet, Jules: *Manon* 326
 Masson, David 115, 119, 586
 Matejka, L. 317, 318
 materialism 316, 317, 413–14, 505
 Mathesius, Vilém 319
 Matlock Bath 476

- Matsier, Nicolaas 497
 Matus, Jill 637
 Mau Mau uprising 385
 Mauritania 572, 577–8
 Mauss, M. 55
 Maxwell, R. 418
 May, G. 224
 Mayan history 162
 Mazdaism 39, 40
 McCaskill, B. 13
 McCleery, A. 217, 638, 641
 McClintock, A. 350, 351, 650, 652
 McCloud, Scott 375
 McCormick, P. 561
 McDonald, Peter 776
 McFarlane, B. 7
 McGann, Jerome 816
 McGowan, M. 368
 McGuffey Readers 657
 McHale, B. 259, 557
 McKenzie, D. F. 827–8, 831
 McKeon, M. 231, 262, 417, 507, 592–3, 604, 607, 672, 673, 695
 McLennan, John Ferguson 53
 McMurrin, M. H. 387, 389, 704
 McOndo generation 504, 791
 meaning
 compositional 309
 discourse 353–4
 ideology 697
 implicit 309
 language 307
 narrative structure 547
 poststructuralism 311
 undecidability 311
 Meat Inspection Act (USA) 458
 mechanics' institute movement 474–5
meddah storytelling 822
 Medea and Jason 286–7
 media technologies 124, 658
 Medvedev, Pavel Nikolaevich 83, 317
 Meiji Restoration 441, 509
 Meinong, Alexis 302
meinü zuojia (beautiful women writers) 184
 Meissonier, Ernest 418
 melancholia 132, 173, 594
 Méliès, Georges: *Voyage dans la lune* 727
melodrama 295, 336, **508–10**
mémoires 325
 memoirs 482
 false 485
memory **510–14**
 artistic creation 341
 autobiography 512–13
 collective 510
 consciousness 636
 epic 510
 fiction 306
 history 512
 individual 512
 life writing 484, 485
 literary history 510–11
 photography 411
 pure 635
 transformation of 510–11
 trauma 485
 Memphis 35, 36, 45
 Menand, Louis 129
 Menchu, Rigoberta 485
 Mendilow, A. A. 814
Meng-zi 25
Menino de engenho (Lins do Rego) 98
 Menke, Richard 616
 Menon, Aubrey 127
 Menzies, John 640
 Mepham, J. 251
 Mercer, Kobena 616
 Merchant, Ismail 7
Mercure de France 783
 Merzliakov, Aleksei 706
 Mesopotamia 37
metafiction **514–15**
 autoethnography 57
 Borges 242
 breaking the frame 323
 Coetzee 1
 Croatian novel 764
 documentary 767
 Gide 341
 historiography 847
 postmodernism 637–8
 Scandinavian novel 585
 self-reflexivity 532
 USA postmodernism 847
 metalanguage 805
 metalepsis 538
 metalinguistics 356
 metaphor 307, 308, 311, 314, 698
 metaphoric principle 310
 metonymic principle 310
 metonymy 307, 308, 698
Metropol' 724
 Mexican American novel 467–9
 Mexican Revolution 161, 255, 516–17

- Mexican–American war 467, 834
Mexicanidad 518–19
Mexico 515–20
 Boom novel 519
 counterculture 517–19
 crack manifesto 515, 519
 independence 516
 literary journalism 518
 naturalism 569
 nineteenth century novel 515–16
la onda 518
 popular culture 518
 post-Boom novel 519
 student protests 518
 women writers 517–19
 Meyer, Conrad Ferdinand 278
 Meyer, Edouard 37
 Michaelson, P. H. 658
 Middle Eastern fiction 396
 middle-class morality 121
 Middleton, P. 253
Migrantenliteratur (immigration literature) 368–9
 Mikhailov, A. 279
 Mill, John Stuart 23, 189
 Millais, John Everett 117, 418, 419
 Millar, J. 391
Millar v. Taylor 677
 Miller, D. A. 191, 195, 558, 592, 664, 739
 Miller, Floyd J. 10
 Miller, J. Hillis 71, 195
 Miller, Nancy 539
 Miller, Samuel 686
 Mills, C. W. 590
 Milne, D. 505, 506
 Milner, A. 642
 mimesis
 and diegesis 200, 529–30, 534, 802, 803
 fiction 301
 form 231–2
 in novel 221–2, 231, 232, 393, 587
 and originality 6
 realism 587, 588
 speech 257
 mind-style 489–90
 Ming Dynasty 26, 381, 386
Ming Pao 385
 Minnick, L. C. 247, 248
 minority studies 73
 Mintz, S. W. 145
 miscegenation 9, 98
mise en abyme (Gide) 341, 343
 mission printing presses 773
 Mitchell, W. J. T. 615
 MLK (Moscow Linguistic Circle) 316
mode (mood) 801, 803
 Modern Language Association, Committee on
 Scholarly Editing 273
modernism 520–4
 Andean novel 50
 Brazilian novel 98–9
 British novel 125
 censorship 127, 156
 comedy/tragedy 523–4
 description 239–40
 Dutch 494–5
 ethnography 55
 feminist theory 298
 fin-de-siècle psychology 635–6
 formalism 316
 gender 353
 German novel 363, 364–6
 innovations 520–3
 Italian novel 435–6
 libel law 215–16
 narrative perspective 543–4
 novel 394–5, 625
 philosophical novel 609–10
 race 134
 realism 225, 664
 and realism 666
 Russian novel 717–19
 Scandinavian novel 583–4
 science fiction 728
 Southern Cone 785–6
 space 792–3
 speech/thought 251
 as term 520
 textual difficulty 124
 time 522, 792, 813
 Woolf 352
 Yiddish novel 859–60
modernismo movement 147, 161,
 783–4
modernista period 404
 modernity
 Arab culture 573–4
 Chinese novel 180–3
 colonialism 649
 Korea 462–3
 Montaigne 79
 novel 386
 photography 612
 Southeast Asian novel 751–3
 USA 840–1

- modernization 384, 753, 822–3
 Moers, Ellen 295
 Moglen, H. 298, 349, 352
Money Walks (multi-authored) 737
 Mongia, Padmini 125
 Mongols 15, 18
Monograph on Arts 18
 monologue, interior 258, 365, 408
 Monotype 599
 Monsiváis, Carlos 518
 montage 317, 463
 Montejo, Esteban 149
 Montesquieu, Charles-Louis 667–8
Monthly Magazine 685, 689
Monthly Review 685, 690
 Moorcock, Michael 729
 Moore, J. 387
 Moral Majority 159
 Morales, Evo 48
 Morales, H. 284
 morality tales 774
 Moreau, Gustave 219
 Moreau, Jean-Michel 419
 Moretti, Franco
 anthropology 53
 and Auerbach 673
 bildungsroman 95, 96, 417
 domestic realism 122
 fillers 672
 on *Genji* 443
 Japanese novel 394
 on Lukács 501
 melodrama 336
 normal literature 397
 novel/totality 591–2
 philosophy in novel 609
 provincial term 669
 reimagining literary geography 566
 on religion 675
 and reprints, not counted 676
 translation 818
 works
 Atlas of the European Novel 372, 507
 Modern Epic 507
 The Way of the World 507
 Morgan, Janice 212
 Morgan, Lewis Henry 53
 Mörlin, Michael 89
Morning Chronicle 457
 Morocco 58, 63, 64, 572, 576–7, 580
 Morpeth Mechanics' Institute 475
 Morris, L. 367
 Morrison, T. 565
 Morse, R. M. 570
 Morson, Gary Saul 86
 Moses, M. V. 133
 Motasi, Richard 777
 Motion Picture Production Code 375
 Mott, Frank Luther 687
 Mozambique 271, 410, 779
 Mudie's Library 117, 476–7, 600, 640
 Mufti, Aamir 209
 Mugabe regime 778
 Muhammad, Prophet 57
 Muir, Edwin 523
 Mukařovský, Jan 319
As mulheres de Tijucopapo (Felinto) 99
 Mulhern, Francis 128
 Mullan, J. 691
 Mullen, Harryette 651
 Müller, Günther 811, 813
 multiculturalism 142, 143, 565
 Multiculturalism Act (Canada) 135, 143
 multikulti 368–9
 multilingualism 578–80, 820
 multimedia adaptations 8–9
 multi-plot novel 624, 713–14
 Mulvey, Christopher 10
 Mumler, William H. 614
mundonovismo (universality) 783
 municipal libraries 475
Munsey's 734
 Murray, Gilbert 525
 Murray, John 639, 682
 musicals 6
 Mylne, V. 224
 myth and symbol criticism 528
 mythological epic 282
 mythological novel 527–8
mythology 524–8
 archetypes 54, 525
 classification of fiction 176
 and criticism 526–7
 deconstructed 12
 epic tradition 281
 India 747
 Lithuanian 87
 novel of 527–8
 oral storytelling 524
 and the past 496
 shadow texts 5
 structuralism 54
 structure 546
 theories of 525–6

- Nadeau, Maurice 810
Nahda intellectuals 59, 60, 63, 573–4
 Naiad Press 742
Nakbah (disaster year) 63
 Nakhimovsky, A. S. 319
Nancy Drew Mysteries series 244
 Napoleonic Wars 120, 383
 narcissism 173
 narratee 550, 560, 801
narration 529–33
 anterior 532
 chronology 522, 532
 extreme 538
 first-person 622
 Genette 801, 804
 omniscient 260, 292
 order 532
 present-tense 260
 as production of narrative 529
 reflector 559–60
 reliability 531
 second-person 561
 simultaneous 535, 561
 time 532
 ulterior/prior 532
narrative 533–40
 ambiguity 302
 argument 537
 authorial 553, 554
 behavior prediction 198
 chronology 534
 cognitive theory of 197–8
 cooperation 199
 and description 234, 239–40
 events 533–4
 fiction 301–2
 figural 554
 first-person 554, 555
 focalization 126
 formalism 801
 games 537–8
 Genette 593–4
 genre 535, 539
 literary studies 626
 metaphoric patterns 314
 outer/inner worlds 320
 photography 212
 plot 538–40, 560
 poetry 537
 postmodernism 538
 poststructuralism 801
 recognition 535–6
 scripture 32
 sequence 534
 story-telling 533
 structuralism 535
 time 536, 811–12
 worldview 199
 narrative competence 545, 548
 narrative discourse 534, 547
narrative perspective 540–5
 cognitive linguistics 488–9
 Conrad 174
 German novel 367
 Iberian novel 399
 modernism 543–4
 outsider 841
 picaresque novel 617
 scene of narration 589
 space 795
 testimony 163
 narrative space 536, 792–6
narrative structure 545–9
 deep/surface 545–7
 dialogue novel 252
 direct thought 257
 meaning 547
 narratology 546
 picaresque novel 619
 postclassical 547–9
narrative techniques 549–53
 Bakhtin 697
 Central European 167
 critical understanding 541
 defined 549
 form 210–11
 framing 321
 narrative transmission 550
 time 550–1
 vision 551–2
 voice 552–3
 narratology 545, 627
 classical 548
 discourse/story-space 54–5, 56,
 143, 211
 feminist 557
 narrative structure 546
 parole/langue 805
 post-classical 536
 psychoanalytic 631–3
 Saussure 632
 stack metaphor 324
 story/discourse 801
 structuralism 487, 535, 536

- narrator** 553–62
- authorial 556–9
 - character 555, 560–1
 - Chatman 530
 - communication 550
 - discourse 257
 - embedded 322–3
 - external 555, 556–9, 558
 - extradiegetic 530–1, 655
 - functions 560
 - homodiegetic 530–1
 - narratee 801
 - native 670
 - omniscient 556–7, 634
 - picaresque novel 618–19
 - plot 625
 - postcolonial discourse 561
 - postmodernism 559
 - reader 558, 559–60
 - reliability 561
 - retrospective 618–19
 - third-person 554–5
 - ungendered 558
 - unnatural 559
- narratorial discourse 253
- al-Nasir, Gamal 'Abd 62
- Nasta, Susheila 127
- Nation, Language and the Ethics of Translation*
(Bermann and Wood) 211
- nation states 47, 96, 563–4, 849
- national culture
- Central European revivals 165
 - characteristics 564
 - heterogenization 136
 - identity 263, 667, 836
 - novel 226, 228–30
- national history 744, 835–6
- National Home Reading Union 478
- National Liberation Front (FLN) 578–9
- national literature** 562–6
- Arabic novel 59
 - explored 562–3
 - literary criticism 564–5
 - racism/slavery 325
 - Scott 120
- National Origins Act 67
- National Socialism: *see* Nazism
- nationalism 59, 136, 139, 429, 462, 704
- Nationalism, Colonialism and Literature* (Eagleton,
Jameson and Said) 126
- Native American Indians, war with 834
- Natives Land Act 770
- nativist writers 186, 463
- nativization of novel 852
- Natural School, Russia 710
- natural selection 52–3
- naturalism** 566–71
- Americas 569–70
 - Brazil 98, 569
 - Central American literature 161
 - European literature 568
 - France 156, 339
 - Japanese novel 445–6
 - late 19th century 53
 - literary realism 405
 - morality 568
 - origins 567
 - race 570
 - realism 664
 - Scandinavian novel 582
 - Slovak 167
 - sorrow 523
 - Southern Cone 782, 784
 - twentieth century 570–1
 - USA 841–2
 - Wright 15
 - Zola 492, 568, 569
- Nazism (National Socialism) 158, 248, 366–8,
410, 495
- Ndebele, Njabulo 772
- Ne Win, General 760
- Negri, Antonio 189
- négritude* 145
- Negro novel 13
- Nelson, B. 568
- Nelson, Katherine 540
- neo-Aristotelianism 695
- neobaroque* 148
- neoclassicism 354–5, 357, 706
- Neo-Kantianism 83, 84
- neoliberalism 51
- neo-naturalism 570
- neo-Ottomanism 826
- neo-picaresque revival 620
- neorealism 436, 583–4, 786
- neo-slave narratives 13
- nesting of stories 322
- Net Book Agreement, withdrawn 132
- Netherlands 481, 494–5
- see also* Dutch language; Dutch novel; **Low Countries**
- Netherlands Antilles 145
- New, W. H. 140
- New Comedy 175, 285

- New Criticism 70, 72, 171–2, 239,
 319, 694
 New England Watch and Ward Society 158
New Englander 687
 New France, fall of 137
 New Historicists 164, 816
The New International Encyclopedia 635
 New Journalism 457–9
New Left Review 189, 610
 New Narrative 99
 New New Journalism 459
 New Orleans 841
 new people, Russia 712–13, 714
 new social movements 99
 New Wave science fiction 728–9
 New Woman fiction 125, 129–30,
 352, 741
New World 734
The New World 680
 New World literatures 670
New Worlds 729
New York Daily Mirror 736
New York Daily News 736
 New York Free Circulating Library 477
New York Newsday 737
 New York Public Library 477
New York Review of Books 165, 278, 692
 New York Society for the Suppression
 of Vice 158
New York Times 302
New York Times Book Review 376, 377
New York World 457
The New Yorker 626
The Newgate Calendar 242
 Newgate novels 120, 509
 news circulation 455
 newsletters 455
 newspaper novel 456–7
 newspaper supplement novels 680
 newspapers
 production 599, 639
 scandal sheets 198
 serialization 758
 syndicates 734
 tax laws 733
 Newton, A. Z. 553
 Newton, Isaac 480
 Nicaragua 160, 161, 472
 Nicholas I 711
 Nicholls, P. 130
 Nicolas of Cusa 400
 Niépce, Joseph-Nicéphore 419
 Nietzsche, Friedrich Wilhelm 201, 207, 220,
 675, 696
 Nigeria 46, 566, 854, 856–7
Nineteenth Century 687, 691
 Nkosi, Lewis 771–2
noir fiction 729
 no-narrator theory 554, 559
 non-referentiality of language 696
 Nordau, Max 220
 Nordic countries 581–5
 see also Scandinavia
 Norstedts publishers 640
 North, M. 208, 612, 614, 616
North American Review 687
 Northern Sotho language 775
 nostalgia 333, 436–8
nouveau roman 240, 340, 496, 810
nouveaux romanciers 342
nouvelle historique 325, 383
nouvelles 703
 Nouvelles Éditions Africaines du
 Sénégal 851
 Nouvelles Éditions Ivoiriennes 851
 Novak, Daniel A. 616
 novel, ancient 284–5
 novel, history of 225–6
roman à thèse 168
 novel in exile 716, 719, 780
 novel of character 392
 novel of conversation 252
 novel of ideas 111–12, 405, 606, 608–9
 novel of incident 392
 novel of introspection 636–7
 novel of manners 720
 novel of memory 410
 novel of violence 164
 novel reading
 aloud 657, 658–9
 dangers of 227
 English readers 228
 identity 230
 Lacan and Freud on 629–30
 morality 657, 689
 studies of 586–7
 subjectivity 629–30
 as theater 658
 see also readers
novel theory (19th century) 585–90
 author, vanishing 588–9
 journalistic 585–6
 novel reading 586–7
 realism 587–8

novel theory (20th century) 590–4

- disenchantment of world 590
- epic and novel 591–2
- form 593–4
- rise of novel 592–3
- novela de la tierra* (Latin American regional novel) 670
- novela morisca* (Moorish novel) 400
- novelas gaseiformes* (type of Cuban novel) 147
- novelists
 - journalistic careers 456
 - as photographers 613
 - professionalism 128–9, 214
 - salon-based 81
- novelization 357, 360
- novellas
 - Castilian 401–2
 - Chinese 178
- novellas* (romances) 703
- Novelle* (short stories) 363, 364
- novel-romances 719
- Novyi mir* journal 723
- Nussbaum, Martha 306, 672
- Nutt-Kofoth, R. 279
- Nyerere, Julius K. 270

- O tempo e o vento* (Verríssimo) 98
- Oatley, Keith 199
- objectification 589
- object-language 805, 806
- O'Brian, J. 313
- Obscene Publications Act (UK) 157
- obscenity 156, 158, 215, 251
- obscenity trials 644
- Odysseus and Penelope 286
- offset press 600
- Ogun, god 201
- Ogwön chaehap kiyön* 461
- O'Hanlon, John 280
- Ohler, S. 737
- Ohmann, Richard 798
- Okamura, J. 66
- Okker, Patricia 731
- Old Aramaic 35–7, 38, 40
- Old English poetry 6
- Olney, James 512, 513
- Olsen, Stein Haugum 300, 301, 304, 305
- Olson, B. K. 557
- Omri, M.-S. 58
- la onda* movement 518
- Onghumong* (The Tale of Unyüong) 461
- online book retailers 124, 642

- online writing 184
- OPOIaZ 315–16
- oppression 73, 146, 350, 840
- oral tradition
 - Baltic States 87
 - Chinese novel 178–9
 - epic 28
 - Kenya 270
 - memory 510
 - mythology 524
 - print technology 524
 - reading aloud 656–7
 - recitation of poetry 57
 - Scandinavian literary culture 581
 - Southeast Asian mainland 757
 - storytelling 58, 524, 767–8
 - talk-story 68
- oraliterature 855
- Orgel, Stephen 816
- Orientalism 49, 649, 745
- original/copy 613
- originality, as concept 6
- Ortega y Gasset, José 520
- Ortiz, Fernando 146, 668
- Ortíz, R. L. 467, 470
- Orton, D. E. 307
- Ortony, A. 310
- Orvell, Miles 615
- Osage Library Association 478
- Otechestvennye zapiski* (Fatherland Notes) 710
- Ottoman Empire 35, 46, 58, 59, 64, 400, 822–3
- Ottoman literature 822, 823–4
- OULIPO (*Ouvroir de Littérature Potentielle*) 344, 345, 810
- overseas Chinese 187–8
- Oxford Classical Dictionary* 233
- Oxford English Dictionary* 233, 238, 272
- Oxford University Press 216
- oxymoron 307, 308–9, 314

- Pachomius, Life of* 40
- Pacific Islands 65
- Page, N. 250, 251
- page layouts 827–8, 831
- Pahlavi, Reza 429
- Paishachi dialect 31
- A paixão segundo G.H.* (Lispector) 99
- Pak ssi chön* 461
- Pakistan 129, 744, 749–50
- Palencia-Roth, Michael 527–8
- Palestine 58, 59, 62, 63, 64, 380–1
- Palmer, A. 257, 258, 259, 260, 548, 552

- Palmeri, F. 603
 pamphleteering 76, 80, 213
 Pan Books 641
 pan-Africanism 267, 268
 Panama 145, 160, 161
 pan-Arab nationalism 59, 63, 64
Panchatantra 31, 32, 58
 Pandava brothers 29
Pang Hallim chôn 461
 panoramic urban novel 292
 Panther 641
paper and print technology 596–602
 and novel 600–2
 papermaking, manual/mechanized 597–9
 technological innovation 599–600, 654
 Western technology 596–7
 paper duty 599
 paper tax laws 733
 paperbacks 600, 641
 Paraguay 254, 780
 paralepsis 560, 815
 paraphrase 529
 paratext 321–2
 parentheticals 259
 Paris 127, 243, 326
 Parisian Guild 77
 Parker, Hershel 276, 278–9, 280
 Parker, P. A. 702
parody 602–6
 postcolonial 605–6
 postmodernism 605–6
 Russian novel 724
 and satire 602, 603–4
 utilitarianism 719–20
 Yiddish novel 859
parole (individual utterances) 487, 805
 Parr, James A. 72
 Parrish, W. M. 658
 Parsi community 750
 participant observation 53, 192
Partisan Review 452, 666
 Pascal, R. 259
 passing, racial 10, 651
 pastiche 3, 6
 pastoral novel 401, 775
 Pathet Lao movement 761
 pathognomy 236
 pathopeia 234
 patriarchy 73, 350, 646
 patronage 75, 269, 355
 Patten, Robert L. 421, 422
 Patteson, R. F. 470
 Paulson, R. 604
 Pavel, T. 300, 302, 547
 Paxton, Nancy 637
 PDF files 831
 Peacham, Henry 234, 235, 699
 Pearson, J. 657
 Pecora, V. P. 675
 Peirce, C. S. 796
 Pellegrini, T. 104
 Penguin 280, 600, 641
 Penguin Classics 830
 Per Ankh 851
 Pérez, Henry 471
 performativity of gender 351, 800
 Pericles 39
 periodicals 685–6, 731–2, 736
 periodization 97, 392
 Perkin, Harold 128
 Perkins, Jacob 419
 perlocutionary act 797–8
 Perón, Isabela 789
 Perón, Juan 780, 785
 Perry, R. 349, 352
 Persepolis inscriptions 38
 Persian Gulf 58
 Persian novel 428–32
 post-revolutionary 431
 social change 429–31
 women writers 431, 432
 see also Iran
 Persian translations 428, 429
personage (character) 172
 personal essay 484–5
 personal libraries 480–1
personne (person) 172
 persuasion, art of 692–3, 699
 Peru 39, 47–52, 49
 Pessoa, Fernando 409
 Peterson, T. B., and Brothers 678, 680
petite histoire (history) 703–4
 Pettit, Alexander 272
 Pfister, Albrecht 418–19
 phatic act 797
 Phelan, J. 531, 548–9, 550, 551, 552–3, 560, 561, 693, 697
phenotext (written text) 425
 Philadelphia, Bradford Circulating Library 476
 Philadelphia Junto 474
 Philip II, of Spain 495

- Philippines 217
 English language 755, 756
 literature 751, 756
 novelists 754
 vernacular languages 756
- Phillips, A. 218
- Phillips, William 666–7
- philology 487
- philosophes*, Enlightenment 76
- philosophical novel 606–11**
 Arabic fiction 607
 literary criticism 610–11
 modernism 609–10
 realism 609
- philosophie* 155
- philosophy 38, 301, 607–8
- Phiz: *see* Browne, Hablot K.
- Phoenix Society of New York 476
- photography 611–17**
 detailism 613
 digital 485
 as ideology 612
 illustrations 419
 industrialization 600
 literary criticism 614–16
 literary realism 615
 memory 411
 narrative 212
 realism 612
 representation 611–12, 613
 reproductions 612–13
 social description 232
- photo-text 614
- phototypesetting 601
- physiological psychology 586–7, 634
- picaresque novel 617–21**
 American novel, early 264
 Arabic influences 58
 character 618–19
 genre transformed 619–20
 Iberian novel 401, 402, 617–18
 ideology 618
 Mexico 515–16
 narrative perspective 617
 narrative structure 619
 narrator 618–19
 Russian 706, 709, 720
- Pico della Mirandola, Giovanni 400
- Pietri, Arturo Uslar 503
- Pinney, T. 613
- Pinochet, Auguste 780, 788, 791
- pirated editions 641, 683
- Pissarro, Camille 151
- Pixerecourt, François-René Guilbert de 508–9
- plagiarism 6, 83, 427
- Plantation Boy* (Murayama) 98
- plantation school 248
- Plato 510
see also in index of Authors
- pleasure, bodily 739
- Pléiade* editions 280
- plot 621–8**
 archetype 539
 Aristotle 621
 causality 801
 character 200, 211
 construction of 329
 conventions 386–7
 dialogue 250, 251
fabula 317
 gothic novel 371
 heroes 539
 heroines 539
 Japanese novel 444
 minimal 625
 narrative 534, 538–40, 560
 narrator 625
 novel 119
 postmodernism 627
 psychoanalytic theories 540
 Ricoeur 812
 Russian Formalism 626–7
 social reality 622
 space 793
 time 539–40
 tragedy 193
 Trollope 627
- Plum in the Golden Vase: see Jin Ping Mei*
- Pocket Books 641
- podsnappery 155
- poem-novels 136
- poetics of form 425
- poetry
 Arab literature 57, 59, 574
 figurative language 314
kavya 30, 32
 Maritania 577
 narrative 537
 oral recitation 57
 of the real 710
 Southeast Asian mainland 758
- poet's novel 136, 144
- point of view 541, 554, 614
see also narrative perspective

- Polanski, Roman 6
 polemic 834–5
 police officers 242
 Polish literature 166
 Polish-Lithuanian state 89
 politics
 African American novel 9
 imagination 497
 Japanese novel 446–7, 448–9
 Jewish American novel 452
 philosophy 38
 queer novel 645–7
 race 734
 realism 662–4
 reviews 687
 violence 714
 poly-isotopic text 426
 polyphony
 ancient narrative of China 23
 Bakhtin 85, 506, 708, 713, 716
 Don Quixote 402
 Iberian literature 411
 Iberian novel 402, 404
 Maghreb 577
 Mexican novel 517
 monologue 6
 Pomorska, K. 317, 318
 Poole, B. 83
 Poovey, Mary 296, 349, 351
 popular culture 374, 506, 509, 683, 740–2
 popular fiction 17, 179, 477, 518, 714, 736
 pornographic novels 110, 155–6, 329, 718
 Portugal
 and Brazil 98
 Estado Novo 411
 literature 271, 399–400, 401–2, 403, 409–10
 novels 409–10
 royal family in Brazil 101
 Western African colonies 851
 see also Lusophone countries
Post 690
 postclassical narrative structure 547–9
 postcolonial studies
 Arabic literature 59
 author 73
 bildungsroman 95, 96
 decolonization 565
 dialect 247
 domestic novel 262
 epistolary novel 292
 gay men 646
 Low Countries 498
 narrator 561
 race 649
 satire 605–6
 South Asian novel 743–4
 Southeast Asian novel 754
 Western Africa 853
 women writers 508
 postcolonial theory 2–3, 57
 postmemory 367
 postmodernism
 adaptation 4
 Africa, Eastern and Central 271
 anxiety of closure 196
 Balkans 766–7
 Canadian novel 142–4
 detective novel 245, 791
 dialogue 252
 epistolary novel 292
 fragmentation 92
 Jameson 416
 Lithuania 91
 Low Countries 496–8
 metafiction 514, 637–8
 narrative 538
 narrator 559
 novel 1, 627
 plot 627
 psychological novel 636–7
 realism 757
 Russian novel 717
 satire 605–6
 science fiction 729
 Shields 144
 Southeast Asia 757
 Spanglish 150
 television 524
 Turkey 827
 USA 847–8
 postnationalism 826, 856–7
poststructuralism 805–9
 as antifoundationalism 805
 author 71–2
 Barthes 807, 808
 challenged 71
 and cognitive theory 197
 deconstruction 806
 Derrida 807
 feminist theory 298
 genre 805–6
 meaning 311
 metafiction 514
 narrative 801

poststructuralism (*Continued*)

- non-referentiality of language 696
- plurality of signs 808
- post-Boom 789
- reader 548
- post-Symbolist novel 718, 723
- Potter, Isaac 476
- Poulet, Georges 816
- Powell, Enoch 131
- Powell, Michael: *A Canterbury Tale* 6
- pragmatographia 234, 238
- Prague 89
- Prague Circle 167, 319, 425
- Prakrit language 31
- pratisarga* (secondary creation) 30
- Pratt, Mary Louise 798
- Prendergast, C. 818
- Présence Africaine 851
- presentation of texts 277–80
- press, satirized 457
- Pressburger, Emeric 6
- pretense in fiction 303–5
- Price, S. 145
- primitive 54, 570, 650
- primitivism 98
- Prince, G. 547, 550, 558
- print on demand editions 831
- print reportage 672
- print technology** 596–602
 - commodified 638
 - communication 640
 - distribution 115–16
 - illustration 418
 - industrialization 600–2
 - innovations 599–600
 - loss of oral tradition 525
 - new technologies 124
 - Southeast Asian mainland 758
 - typography 827–9
- printers 213, 639, 679, 683
- Printers' and Booksellers' Guild 76
- printing press 75, 153, 213, 598–9, 638, 773
- proairetic code 627
- professionalism 77, 128–9, 355, 641
- progress, sense of 388–9
- prolepsis 550, 577, 815
- proletarian narratives 416, 620
- propaganda 300
- property ownership 839
 - see also intellectual property rights
- Propp, Vladimir 172, 546, 547, 593, 626, 801
 - Morphology of the Folktale* 54, 87, 172

- prosopographia 234
- prosopopeia 234, 236
- prostitute figure 271, 739, 759
- Protagoras 39, 696
- protectionism, USA 682–3
- protest writing 772
- Protestantism 75, 87, 261, 393, 672
- Proteus Principle 554
- proto-feminism 136
- proto-realism 107–8
- proverbs 307, 308
- Proverbs, Book of 36
- provincialism 140, 669
- proximation 4
- Prussia 361–2
- Pryor, K. 737
- Pseudo-Dionysius 40, 42–3
- pseudonym 118
- psychoanalytic theory** 628–33
 - feminism 350
 - Lacan 242
 - narrative 628–30
 - narratology 631–3
 - plot 540
 - said/unsaid 251
 - Tournier 3
 - trauma 298
 - unconscious 630–1
- psycholinguistic experiments 313
- psychological novel** 633–8
 - editing 272
 - Eliot on 121
 - inner life 635
 - Japan 443
 - literary criticism 636–7
 - and modernist art novel 123
 - Netherlands 491
 - origins and development 633–5
 - postmodernism 636–7
 - Scandinavia 583
- psychology
 - closure 193
 - and cognitive theory 197
 - and decadent novel 219–20
 - novel reading 586–7
 - realism 140, 141, 583–4
 - tragedy 202
 - type 175
- psycho-narration 258
- Ptolemy 70
- public libraries 475, 477–9
- Public Libraries Acts (UK) 477, 479

publishing 638–42

- authors 75
- and authors 78, 80
- copyright 153
- cheap editions 214
- detective novel 241
- ethnic 468
- exploitation of copyright anomalies 214
- fiction/non-fiction 640, 642
- gender 349
- illustration 418
- London 131
- mass market 641
- monopolies 76
- new business models 639–40
- pre-/post-publication censorship 213
- rights 76
- Shanghai 180–1
- single volume novels 125
- transnational 641–2
- twentieth century 641–2
- unlicensed copies 828
- Western Africa 851
- Puccini, Giacomo: *Manon Lescaut* 326
- Puerto Rican novel 146, 149–50, 469–70
- Puerto Rico 145, 146
- Pugachev, Yemelian 708
- Pulitzer, Joseph 457
- Pulmyöl üi yöksa* 465
- pulp fiction 244, 727–8
- pulp magazines 736
- Pumpianski, Lev 83
- Punch* 116
- Punic Wars 281
- punk 415
- Puranas* 32
- Pure Food and Drug Act (USA) 458
- purity movement 158
- Putnam, George 640
- Puttenham, George 234–5
- Pykett, L. 349, 352, 568
- Pythagoras 39
- Qajar Dynasty 429
- Qarawiyyin Mosque 578
- Qin Empire 20, 22
- qingchun wenxue* (youth literature) 184
- qissa* (story) 57
- quadrivium 70
- Quarterly Review* 686, 690, 691
- Quarup* (Callado) 99
- quasi-persons 170

- Quayson, A. 256
- Quayum, M. A. 755–6
- Quebec 135, 136, 141–2
- Quechua language 48, 49
- queer novel 643–7**
 - defined 643
 - examples 643–4
 - Mexican American novel 469
 - Naiad Press 742
 - politics 645–7
 - sexual diversity 644–5
- queer practice 739
- queer studies 73, 299, 351, 415, 739
- quest novel 747
- La Queste del Saint Graal* 400
- Quiet Revolution, Quebec 142
- Quinn, G. 751
- Quintana, A. E. 468–9
- Quintilian 693
- Quinto Sol 468
- quotation marks 250–1, 257
- quoted text 1, 529
- Qur'an 57
- Rabassa, Gregory 788
- Rabb, J. 613
- Rabinowitz, P. 532, 548, 549, 550, 693, 697
- Race Relations Act, UK 131
- race theory 648–52**
 - border crossing 838
 - Brazil 569
 - Caribbean 146
 - Central America 162
 - class 848
 - class/gender 351–2
 - defined 648–9
 - detective novel 245
 - European modernity 649–50
 - feminism 350–1
 - gender 650–1
 - Jewish American novel 453–4
 - modernism 134
 - naturalism 570
 - oppression 840
 - politics 734
 - popular culture 509
 - postcolonial discourse 649
 - racial grammar 651–2
 - realism 648–9
 - sex 739
 - sexuality 838–9

race theory (*Continued*)

- South Africa 769, 770–1
- stereotyping 269
- racial tensions 10, 131, 248, 297–8
- Racine, Jean 221
- raconte* (that which is narrated) 804
- Rader, Ralph 695
- Radhakrishnan, Sarvepalli 128
- Radway, J. 657
- Rae, Ian 144
- Raffet, Auguste 418
- Raffles Library 474
- railroads 119, 447, 600, 640
- Railway Library (Routledge) 682
- Rainey, Lawrence 127
- Raise the Red Lantern* 185
- Rajmohan's Wife* (Chattopadhyay) 746
- Raleigh, Walter 394
- Rama, Ángel 50
- Rama, prince of Ayodhya 28–9
- Ramayana* 28–30
- Rambler* 228, 657, 688
- Ramsay, Allan 476
- Ramus, Petrus 693
- Ranasinha, Ruvani 127
- Rapin, René 223
- Rastengar, K. 395
- Rastier, François 426
- Ravana 29
- Raven, James 676, 677
- reader** 652–6
 - author 561
 - character 173–5
 - class 733, 836
 - communication 653, 656
 - community of 733–4
 - competent 656
 - complicit 787–8
 - empirical 653–4
 - fictional 653, 654
 - gender 689, 837
 - hypothetical 696
 - identification 587
 - implied 653, 655–6
 - informed 656
 - intelligent 735
 - intended 655
 - mock 656
 - narrator 558, 559–60
 - passive 788
 - poststructuralism 548
 - serial 730, 732–4
 - space 795–6
 - statistics on 654
 - time in novel 816–17

- readerly text 71, 548–9, 627, 808
- reader-response criticism 1, 225, 656

reading

- artificial intelligence 548
- critical 655
- excessive 117
- heuristics of 198
- intensive 117
- Iser 9
- literary 425
- as performance 657
- photographs/literature 615
- serialized fiction 734
- silently 653, 656

reading aloud 656–9

- alte voce* 653
- to children 659
- gesture 657–8

reading contract 427

readymades 317, 319

real maravilloso 148, 152, 503**realism** 660–7

- aesthetics 589
- African-American novel 15
- America, Central 161
- Anatolia 824–5
- Andean novel 51
- Asian American novel 67
- authorial voice 588–9
- Bakhtin on 86
- Balzac 332, 333, 509, 803
- Brazil 98
- Canada 135, 136, 140
- character 171
- Chinese novel 22
- class 588
- consensus 121
- cultural studies 396
- detail 667
- dialect 248
- dialogue 231, 253
- dirty 666
- domestic 119–20, 587–8
- Dutch novel 492
- Engels 505
- English 130
- ethnography 55
- Europe, Central 166–7
- fiction 392–4

- Flaubert 332, 336–7, 492, 589
 formal 232
 French novel 334
 genre 358
 gothic novel 370, 373
 idealism 392
 ideology 663
 instrumental 616
 international context 394–6
 Italian novel 434–5
 Japanese novel 442
 Korean novel 463
 Latvia 92
 legacies of 664–7
 literary 405, 615, 660
 Lukács 501
 masculinity 740
 mimesis 587, 588
 modernism 225, 664
 naturalism 664
 nineteenth century 609
 novel 230–1, 318
 philosophical novel 609
 photography 612
 politics 662–4
 postmodernism 757
 project of 660–2
 psychological 140, 141, 583–4
 race 648–9
 Russian novel 706–7, 713
 satiric 859
 Scandinavian novel 581
 social 67, 182, 575, 576, 666, 764
 social control 615
 Southern Cone 782, 785
 tragedy/comedy 523–4
 Turkish novel 822–3
 Yiddish novel 859
 Zola 492, 589
see also **magical realism; verisimilitude**
 reality effect 400, 496–7
récit 529, 627, 803
histoire 546, 811, 812, 813
 Reclam, Philip 600
 recognition 169–70, 193, 425, 427, 428,
 535–6
Recognition 201
 Reconstruction Era 12
 recontextualization 317
 recording of book readings 656–7, 659
*Records of the Various States of the Eastern
 Zhou* 21
 Red Pinkerton novels 719
 Redfield, M. 95
 Redling, E. 248
 Redwood Library 474
 Ree, J. 250
 Reed, Walter 511
 Reeves, Margaret 387
 reference 427
 reflectors 559–60
 Reform Bills (UK) 191
 Reformation 89, 672, 674
Le refus global (Total Refusal) 141
 regional identity 669
regional novel 667–71
 Brazil 99
 British Isles 126
 Canada 141, 143
 Central America 161
 historical development
 669–71
 USA 841–2, 848
 Rego, Paula 2
 Reid, Thomas 796
 reification 416, 417, 501
 Reinach, Adolf 796
 Reis, M. J. 316
religion 671–6
 archetypes 54
 identity 744
 and mythology 53
 in the novel 672
 romance 675
 South Asian novel 745
 religiosity 745
 Religious Tract Society 480
 remembrance 411
 Remón, José Antonio 164
 Renaissance
 ancient novel 35
 description 234–5
 dialect 247
 drama 278
 Nature 387
 roman 222–4
 replacement theory 8
 Reppen, R. 489
 representation
 community 561
 ethics of 484
 novel 593–4
 photography 611–12, 613
 time 550–1

reprints 676–84

- British in USA 273
- copyrights 679–80, 681–4
- intellectual property 676–7
- literary criticism 676
- one-volume form 640
- papermaking technology 600
- profits 680–1
- unauthorized 677, 680
- USA 678
- reproductions 612–13
- Republican Turkism 824, 825–7
- Res gestae Alexandri Macedonis* 44
- Resende, B. 104
- Restoration period 105, 204
- retelling 529
- reviewing 684–92**
 - and authors 689–90
 - Carlyle 684–5
 - criteria 687–9
 - literary marketplace 686–7
 - periodicals 685–6
 - politics 687
- revision, authorial 275–7
- re-visioning of text 5, 349–50
- De Revisor* 496–8
- revival novels 856
- Revue des deux mondes* 585, 691
- Reynard the Fox* stories 496
- Reynolds, Joshua 238
- Rezeptionsästhetik* (reader-response) 656
- rhetic act 797
- rhetoric 692–701**
 - advertising 699
 - Bakhtin 697
 - classical styles 698–9
 - defined 692–3
 - as discourse 694–5
 - Eagleton 697–8
 - of fiction 225
 - and figurative language 698–700
 - hermeneutics 693–4
 - ideology 696–7
- Rhodesia 777–9
 - see also* Zimbabwe
- Ricardou, Jean 427
- Rich, Adrienne 5
- Richard and Judy Book Club* 133
- Richards, Grant 216
- Richardson, Brian 538, 551, 559, 561
- Richelieu, Cardinal 334
- Richter, David 697

- Rico, Francisco 272
 - Quijote* 279
- Ricoeur, Paul 414–15, 425, 428, 811–12
- Riebeeck, Jan van 768
- Riffaterre, Michel 424, 426, 427
- rifled mailbag letter fiction 289
- Rigveda* 28
- Rimmon-Kenan, S. 531, 532
- Rind, William 476
- Rischin, M. 452
- riwaya* (Arab novel) 395, 573
- road trope 846–7
- Robbins, Bruce 507
- Robert, Nicolas-Louis 598
- Roca, Julio A. 786
- Rockmore, T. 805
- Rodó, José Enrique 783
- rogue novels 401
- Roh, Franz 503, 666
- role-playing games 538
- Rolling Stone* 737
- Roma 564
- roman chevaleresque* (chivalric prose romance) 222
- Le Roman de Renart* 325
- Roman Empire 493
- roman épique* (heroic romance) 222
- roman feuilleton* (novel serialized in newspaper) 336, 731
- roman fleuve* (long chronicle) 464, 544
- Roman* (German novel) 362–4
- roman héroïque* (heroic romance) 222, 224, 703
- roman moderne* (modern novel) 702
- roman noir* (black/white tale) 242
- roman* (novel and romance) 222–4, 324, 391, 393, 674, 701, 702
 - see also* *nouveau roman*
- roman philosophique* (improper tale) 329
- roman picaresque* (rogue novel) 401
- roman policier* (novels of policing) 243
- roman sentimental* (sentimental novel) 222
- romance 701–5**
 - allegory 703
 - Anglophone 393
 - Canada 135
 - and epic 703
 - Europe/USA 704–5
 - as genre 362, 701
 - genre/mode of heroism 702
 - history 392–4
 - imperial 124
 - Korean 461

- memes 702
- modern fiction 203
- novel 701, 833, 837
- religion 675
- Romance languages 702
- sensation novel 509
- subgenres 703
- terms for 701
- Thailand 759
- verisimilitude 703
- Romance of the Three Kingdoms: see Sanguo yanyi*
(Luo Guanzhong)
- roman-poème* 342
- romantic love 286–7
- Romanticism
 - Brazil 98, 101–2
 - Canada 137
 - Central American literature 161
 - demystified 335
 - global comparisons 209
 - inner subjectivity 332
 - Latvia 92
 - nostalgia 333
 - novel of ideas 608–9
 - revived 140
 - Rousseau 331
 - Russian 707–8
 - Southern Cone 782
- Romero, Oscar Arnulfo 164
- Ronen, Ruth 793, 796
- Roof, Judith 739
- Roosevelt, Teddy 742
- Rorty, Richard 303
- Rosa, G. 338
- Rose, Danis 280
- Rose, M. 213, 727
- Ross, C. L. 273
- Rossmann, C. 273
- Round Table* 692
- Routledge, George 682
- Royal Shakespeare Company 7
- Royal Society 473
- royalties 641, 683
- Rubel, Ira Washington 600
- Rugg, Linda 212
- Rulin waishi (Scholars)* 179
- rural sketches 118–19
- rural/urban life 752–3
- Ruskin, John 660
- Russia (18th–19th century) 705–16**
 - copyright law 214
 - new economic policy 719–20
 - October revolution 719
 - party literature 719
 - romantic poetry 707–8
 - Terror period 722, 724
 - Thaw-era 721–4
 - see also* Russian novel
- Russia (20th century) 716–26**
 - Bolshevik revolution 716
 - copyright law 214
 - new economic policy 719–20
 - October revolution 719
 - party literature 719
 - romantic poetry 707–8
 - Terror period 722, 724
 - Thaw-era 721–4
 - see also* Russian novel
- Russian émigré experience 719
- Russian Formalism 315
 - aesthetic systems 318–19
 - author 70
 - description 239
 - dominant, aesthetic 318
 - fabula/sjuzhet* 22, 546, 593, 811, 812
 - as influence 319
 - language 487
 - narrative 535
 - plot 626–7
 - story/discourse 593, 801
 - see also formalism*
- Russian novel
 - critical realism 721–4
 - of disintegration 714–15
 - documentary 723
 - experimentation 724–5
 - historical 708
 - late-/post-Soviet 724–5
 - magical realism 725
 - middle style 707
 - modernism 717–19
 - multi-plot 713–14
 - nihilism 712
 - parody 724
 - philosophy 609
 - picaresque 720
 - pornography 718
 - postmodernism 717
 - post-Symbolist 718, 723
 - readership 709
 - realism 713
- Natural School 710
- new people 712–13, 714
- peasants 708, 714
- political violence 714
- populism 714
- short stories 715–716
- translation from European 705–6
- see also* Russian novel

- Russian novel (*Continued*)
 rise of 705–6
 satire 723
 science fiction 723–4, 727
 serialization 716
 serious realism 706–7
 Socialist Realism 720–1
 Symbolist 718
 time 720
 underground man 713
 women writers 711
- Russo-Japanese War 718
 Russo-Swedish war 706
 rustic novels 138
 Ryan, James 616, 637
 Ryan, M.-L. 324, 536, 548, 795, 796
 Rzepka, Charles J. 244
- Sacks, Oliver 540
 Sacks, Sheldon 193, 695
 sacred and profane 319, 648
 sacrifice 202, 839
 sadomasochism 159
 Sadowski-Smith, Claudia 469
 Sagarra, E. 363
 Said, Edward 49, 501, 548, 573
 Beginnings 71
 Culture and Imperialism 3, 209, 507–8
 Orientalism 56, 649
 St Clair, W. 214
 Sainte-Beuve, Charles Augustin 24, 586
 Saldívar, Ramón 468
 Salmasius 389
Salon 738
 salons, literary 81
Samba-Enredo (Almino) 99
 same-sex love 157
 see also homosexuality
samizdat (unofficial publications) 168, 217, 716,
 717, 723
 Sammons, J. L. 93
 San Francisco 736–7
San Francisco Chronicle 736
San Francisco Examiner 736
San hai jing (*Book of Mountains and Seas*) 25–6
 Sandinista resistance 162
Sanguo yanyi (Luo Guanzhong) 19, 21, 26, 179,
 382, 596, 705
Sanguo zhi (*History of the Three States*) 24, 179
 Sanskrit tradition 30–3
São Bernardo (Ramos) 99
 Saragossa manuscript (Potocki) 25, 31, 267
sarga (creation of the world) 30
 Sarmiento, Domingo Faustino 781–2
 Sarvavarman 31
- satire 602–6**
 allegorical novel 605
 Cervantes 702
 Dutch novel 492
 non-parodic 604–5
 novel of ideas 111–12
 parodic 603–4
 postcolonialism 605–6
 postmodernism 605–6
 realism 859
 Russian novel 723
 on totalitarianism 723
- Satō, Y. 444
 satrapies 38
Saturday Evening Post 736
Saturday Review 686, 687, 691
 Saudi Arabia 62, 64, 65
 Saunders, C. 701
 Saussure, Ferdinand de
 hypogram 427
 language theory 805
 langue/parole 545–6
 linguistics 43, 356, 631
 narratology 632
 and Russian Formalists 487
 sign 319, 488
- Saussy, Haun, *The Problem of a Chinese
 Aesthetic* 210
- Savannah Library Society 474
Saving Private Ryan 539
 scandal sheets 198
- Scandinavia
 editing 279
 literary culture 581–5
 novel 581, 582–5
 printing press 638
 psychological novel 583
- Scandinavian American periodicals 736
 scapegoat archetype 54
scapigliati movement 434
 scar literature 183
 Schaeffer, Jean-Marie 301, 304, 306
 schemas/scripts 197–8
 schemes, figurative language 307–9
 Schilling-Estes, N. 247
 Schlegel, Friedrich 608
 Schlegel, Wilhelm and August 817
 Schleiermacher, Friedrich 817, 820
 Schlesinger, John 8

- Schopenhauer, Arthur 220, 405
 Schöpflin, G. 165
 Schorer, Mark 541
 Schumpeter, Joseph 662, 663, 664
 Schwartz, R. 102
 Schwarz, Roberto 501
science fiction 727–30
 African American 17, 729
 American 848
 Balkans 768
 Banks 133
 cyberpunk 144
 gender 729
 information technologies 729
 Jameson 508
 modernist 728
 New Wave 728–9
noir fiction 729
 postmodernism 729
 Russian novel 723–4, 727
 soft 728, 848
 Suvin 508
 women writers 729
 scientific writing 238, 283
 Scorsese, Martin 765
 Scotland 54, 130, 474, 638, 670
 Scott, B. K. 353
 Scott, Joan W. 190
 Scottish Enlightenment 54
Scribner's 671, 735
 scripts/schemas 197–8
 scripture narrative 32
 Searle, John 300, 304, 310, 799
 Searle, L. 71
 secularism 451, 744
 secularization 671–2, 672–3
 Sedgwick, Eve Kosofsky 299, 351, 692, 739, 800
 Segal, Daniel 55
 Segal, E. M. 488
 Segal, Robert A. 526
 Seidman, R. J. 127
 Sekula, Allan 615
 self-censorship 375
 self-determination 95, 104, 565–6
 self-editing 275
 self-help narratives 484
 selfhood 177, 636
 see also identity; individual
 self-publishing 485
 self-referentiality 665
 self-reflexivity 302, 514, 532, 702, 807
 Seljuk state dissolved 825
 Selkirk, Alexander 672
 Semino, E. 314
 semiological existence 803, 804
 Senefelder, Aloys 419
 Senegal 851, 853–4, 856
 sensation novel 123, 509, 625, 626, 834
 sentimental novels 113, 114, 262, , 689, 834
 separatist novels 139–40
 sequence in narrative 534
 Serapion Brothers 719, 720
 Serbia 762, 763, 764, 765
 serial novela 403
 serial reader 732–4
serialization 730–8
 adaptation 7
 Arabic novel 60
 British novels 116, 117
 censorship 155, 735–6
 cliffhangers 732
 detective novel 241
 early 730
 experimentation in 737
 France 339
 French literature 336
 graphic novel 377
 Hardy 275
 illustrated novel 421
 international 730
 Korean novel 462
 in newspapers 758
 periodicals 731–2
 popular fiction 736
 Russian 709–10, 716
 Victorian classics 737–8
 Sesotho language 775
Sestiger School 776
 Setswana language 775
 settler countries 565
 settler writers 269
Seven Wise Masters 40
 Seville, C. 214
 sex 739, 741, 838
 see also gender
 sexology 739
 sexual difference 296, 349, 350
 sexual scandal 106, 226
 sexual selection 567
 sexual slavery 840
sexuality 738–43
 alternative 847
 bourgeoisie 740–2
 capitalism 742

sexuality (*Continued*)

- female 569, 739–40
- feminism 351
- Foucault 351
- gender 352–3
- graphic novel 743
- history of 739–40
- as history/theory 738
- identity 742–3
- male 739–40, 742
- naturalism 567
- politics 391
- popular fiction 740–2
- race 838–9
- al-Shabbi, Abu al-Qasim 575
- shadow texts 4–6
- Shakespeare & Co. 156
- Shale, Kerry 9
- Shanghai 180–1
- shanghen wenxue* (scar literature) 183
- Shank, Roger 197
- Shared Experience 7
- Shattock, J. 691
- Shattuck, Roger 699
- Shaw, Harry 697
- Shechner, Mark 453, 454
- Shen, D. 489
- Shen, Y. 311, 314
- Sheng ming* (Giving Birth to People) 19
- sheng yuan* (government students) 26
- Shephard, E. H. 424
- Shepherd, David 87
- Sheridan, Frances Chamberlaine 685
- Sheridan, Thomas 657–8
- Sherlock Holmes stories 123, 241, 243–4, 303, 734–5
- Sherman, B. 455
- Sherry, Richard 234
- Shi ji* (*Historical Records*) 21–4
- Shi jing* (*Book of Songs*) 16, 19
- Shiach, Morag 130
- Shideler, Ross 209
- Shining Path movement 48
- Shipman, Evan 735
- Shitou ji* (Story of the Stone) 205
- Shklovsky, Viktor 292, 316, 317, 318, 593, 626
- Shloss, Carol 615
- Shlovsky, Viktor 70
- Sholem, Gershom 500
- Shona language 778
- Shona novels 270–1
- Short, M. 257, 487, 489
- short stories 178, 715–16
- shōsetsu* term 390, 395
- Shouhuo* journal 186
- Showalter, Elaine 224, 296, 610
- showing/telling 557, 589, 695, 699
- Shu jing* (*Book of Documents*) 20
- Shuihu zhuan* (*Water Margin*) 15, 19, 20, 27, 179, 187, 203, 461, 596
- Shukasaptati* 31–2
- Shuttleworth, Sally 637
- Sieber, H. 619
- Sierra Leone 484, 485, 856
- significance 425, 808
- signification
 - crisis of 425
 - linguistic 319
 - materiality 316
 - metafiction 526
 - novel as 640
 - plurality 808
 - repetition 652
 - Russian formalists 319
 - Saussure 488
 - story/discourse 804
- Silver, Brenda R. 275
- silver-fork novel 120
- simile 307, 308, 314
- Simmel, Georg 499
- Simon, Sherry 136
- Simpson, O. J. 509
- Singapore 743–4, 752, 754, 755, 756–7
- Singapore Library 474
- Singer, B. 805
- sirah* (saga) 57, 573
- Sirhak* movement 462
- Si-Swati language 775
- Sita 29
- sjuzhet* 534, 547, 593, 626–7, 801
 - fabula* 546, 811, 812
- skepticism 786–8
- sketch writing 118–19
- Skilton, D. 419, 422
- Skrine, P. 363
- slave narratives 9
- slavery
 - abolitionism 10, 11, 681, 687
 - African American novel 9
 - colonialism 147
 - end of 834
 - Gilroy 686
 - Law of the Father 298
 - legacy of 98

- marriage 2
- opposed 12
- property 839
- USA 297
- Slavic Orthodoxy 87
- Sliding Doors* (Howitt) 538
- Slovak language 165–6
- Slovak literature 166, 168
- Smalley, D. 627
- Smith, B. 350
- Smith, Barbara Hernstein 193
- Smith, Betty 666
- Smith, Elder & Co. 639
- Smith, H. N. 528, 837
- Smith, John 234
- Smith, S. 482, 483, 484, 486
- Smith, Susan Belasco 731
- Smith, Valerie 297
- Smith's, W. H. 117, 476, 477, 600, 640
- Snyder, Carey 56
- Snyder, Sharon 256
- social comedies 123
- social contract 303–5, 648
- social control 615
- social criticism 11, 27, 88–9
- social Darwinism 52
- Social Democratic Party 475
- social libraries 472–3, 475
- social networking sites 485
- Social Novel, Brazil 98–9
- social psychology 122
- social reality 617–18, 622
- social science 55
- socialism 452, 505
- Socialist Realism
 - Balkans 765–6
 - Burma 760
 - Europe, Central 168, 183
 - North Korean literature 465
 - Russia 716
 - Russian novel 717, 720–1
- Société des auteurs dramatiques* 76
- Society for the Promotion of Christian Knowledge 480
- sociolinguistics 490
- Sollers, Philippe 427
- Solomon's Temple 476
- Somalia 267, 270
- Sommer, Doris 516, 669, 782
- Sommerville, C. J. 456
- Song Dynasty 19, 24, 25, 27, 179
- Sontag, Susan 615
- Sony Bono Act (USA) 683–4
- Sophists 693
- Sorensen, Diana 504
- Sorfleet, John Robert 138
- sosöl* (Korean novel) 390, 460
- South Africa
 - African-language novels 773–5
 - Afrikaans literary tradition 768
 - Anglophone novels 769–73
 - apartheid 773
 - black writers 771–3
 - censorship 776
 - critical realism 771–3
 - democracy 772
 - magical realism 773
 - protest writing 772
 - race 769, 770–1
 - Truth and Reconciliation Commission 773
 - urbanization 770
- South African Development Community 777–9
- South America: *see* **Southern Cone (South American)**
- South Asian studies 209
 - see also* **Asia, South**
- Southam, B. C. 624
- Southampton Daily Echo* 481
- Southern Cone (South American) 780–92**
 - Boom 786–8
 - modernism 785–6
 - modernismo* 783–4
 - naturalism 782, 784
 - post-Boom 789–90
 - realism 782, 785
 - Romanticism 782
 - skepticism 786–8
 - vanguardia* 783–4
- Southern Literary Messenger* 687
- Southern Renaissance 668
- Southern Song Dynasty 20
- Southey, Robert 690
- Soviet Union 168
- space 792–6**
 - character 794
 - deixis 795–6
 - domestic fiction 836–8
 - factual/counterfactual 794
 - focalization 795
 - Jameson 848
 - modernism 792–3
 - motivation 795
 - narrative perspective 795
 - national/regional 840–1

space (*Continued*)

- plot 793
- proximal/distant 793–4
- public/private 837
- reader 795–6
- typologies 793–4
- verisimilitude 794
- space operas 728
- Spain
 - colonies 58
 - editing 279
 - Morocco 58
 - novel 272, 514
 - picaresque novel 617–18
 - public libraries 479
 - war with Netherlands 491
- Spanglish 150, 162, 467, 471
- Spanish American War 469
- Spanish Civil War 406, 407, 408, 410, 479
- Spanish Inquisition 401
- Spanish language 49, 467
- The Spectator* 687
- Spectrum 851
- speculative fiction 17
- speech act theory** 796–801
 - Austin 796–8
 - critical studies 253–4
 - Derrida 798–800
 - literary 798–800
 - mimesis 257
 - Searle 304
 - style 490
 - Todorov 357
 - typographical representations 250–1
 - see also* utterance
- speech genres 86, 356
- speech register 561
- spelling 3, 246
- Spencer, Herbert 567, 637
- Sperber, D. 309
- Spiegel, Alan 615
- Spielhagen, Friedrich von 589
- Spillers, Hortense 298, 651
- spiritual autobiography 634, 674
- Spivak, Gayatri 191, 297, 417, 508, 650–1, 820
 - Death of a Discipline* 566
 - In Other Worlds* 210
- Spring and Autumn Annals: see* Chun qiu
- Spurs, Battle of the 491
- spy fiction 130, 508
- Sri Lanka 143, 743, 748–9
- Stalin, Joseph 716, 720–1

- Stalker* (Tarkovsky) 724
- Standard English 249
- Standard Library (Bohn) 682
- Standard Novels (Bentley) 682
- Stanhope, Charles 599
- Stanton, Domna C. 212
- Stanzel, Franz 210, 554, 556–9, 560
- Starr, G. A. 673, 674
- stateless people 564
- Stationers' Company 213
- Statute of Anne 213
- steam presses 599, 639
- Steedman, Carolyn 540
- steel engravings 419
- Steen, G. J. 312
- Stein, Gertrude 521
- Steinecke, Hartmut 362, 363
- Steiner, George 820
- Steiner, P. 487
- Steppenwolf 7
- stereotype technology 599, 677, 679
- stereotyping
 - Filipinos 66
 - race 269
- Stern, D. 469
- Sternberg, M. 250, 548, 554, 560
- Stevenson, A. G. 481
- Stevenson, L. 354
- Stewart, Patrick 659
- stigma 255
- Stiles, A. 637
- Stock, Elliot 829–30
- Stoljar, M. M. 608
- story papers 734
- story/discourse** 801–4
 - Chatman 802, 804
 - framed 322
 - Genette 801–4
 - histoire/discours* 801
 - novel theory 593
 - transposable 535
- story-space 56, 535
- storytelling 301, 535
 - China 15
 - cognition 197–8
 - community 152
 - narrative techniques 549–53
 - oral 58, 767–8
 - structuralism 54
 - Turkey 822
 - see also* fiction
- storyworld 536, 537

- Stowe v. Thomas* 681–2
 Strachey, Lytton 483
The Strand Magazine 243, 734
 Stravinsky, Igor 148
 stream-of-consciousness 232, 258, 365, 431, 463,
 577, 633, 636
 Strindberg, August 499, 582
 Stroessner, Alfredo 785, 787
 Strong, J. 354
structuralism 805–9
 author 70–1
 Barthes 806–7
 character 172–3
 France 319
 Jakobson 319
 linguistics 545–6
 myth 54
 narrative 535
 narratology 487, 535, 536
 plurality of sign 808
 and poststructuralism 805–6
 story/discourse 801, 804
 storytelling 54
 text 807
 structuralist-Marxism 71, 506
 Strychacz, Thomas 125
 Stuart dynasty 384
Studies in the Novel survey 272
 style 358, 487, 490
 Su, J. J. 1
 subaltern studies 163, 209
 subjectivity 70, 73, 352, 629–30, 632
 subscription libraries 117, 473–4
 subscription publication 641
 Sudan 58, 61, 63, 65
 Suez Crisis 129
 Sufi literature 577
 Sui Dynasty 18
Sukeroku Flower of Edo 204
Sultana's Dream (Hosseini) 746
 Sumner, Charles 686
 Sumner, John 158
Sunday Express 157
 Sunday school libraries 480
 superfluous man novel 710–11
 supernatural tales 26, 329, 371–2, 671–2
 see also gothic novel
Sur 786
 Suriname 145
surrealism 809–10
 American novel 845
 Breton 342
 France 340, 342
 Konrad 168
 Low Countries 494
 survival of fittest 567
 Susa 36
 suspense fiction 130
 Suvin, Darko 508, 727
 Swales, M. 96
 Swanson, P. 519
 Sweetser, E. 311
 Swiss German literature 362
 Switzerland 214
 symbolic action 359, 506
 symbolism 53, 762–3
 Symbolist novel 405–6, 635, 717, 718
 synecdoche 126, 698
 syntagms 547
 Syracuse 44
 Syria 58, 59, 62, 63, 65
 Szeman, I. 565

 taboo 300, 329, 493
 Tagg, John 615
 Taine, Hyppolyte 585, 668
 Taiwan 186
 Talattof, K. 429
 Talbot, Henry Fox 612
 Talese, Gay 458
 talk-story 68
 Talmy, Leonard 489
 Tamil–Sinhalese conflict 749
tamizdat (unofficial publication) 716, 717, 723
 Tammi, M. L. 259
 Tang Dynasty 19, 24, 26
 Tanner, Tony 739
 Tanselle, G. T. 272, 275, 278
 Tanzania 143, 270
 Tarkovsky, Andrei 724
 Tartu School of Semiotics 319–20
 Tate, Allen 668, 788
 Tauchnitz, Bernhard 640, 681
 Tauchnitz printers 600
 Taylor, Austin 478–9
 Taylor, Charles 177
 technological innovation
 comparative analysis 208
 decadence 220
 life writing 485
 media 217
 novel 128
 paper 654
 technology of self 177

- Teeuw, A. 752
 Tegg, Thomas 678
 tellability concept 533
 temple-based culture 745
 Templeton, Joan 212
temps (tense) 801, 803
 Tenniel, John 424
 Teresa de Mier, Fray Servando 149
 Teresa of Ávila 483
Terras do Sem-Fim (Amado) 98
 Terror period, Russia 724
 Terts, A. 721
Tess (Polanski) 8
 testimonial literature 149, 163, 484
 text adventures 538
 text messaging 292–3
 text networks 43, 46
 textbooks 642
 textile strike novels 844
 texts
 conscious/unconscious manipulation 819–20
 eclectic 278
 and image 378
 inclusive 277–8
 modernism 124
 physical form 827–8
 presentation 277–80
 theories of 425
 writerly 548
 see also **graphic novel**
 textual criticism 272, 280
 Thailand 757, 758–9
 Thales 39
 theater 6–8, 508–10
 Theon 233
 Theory of Mind (ToM) 198–9
 Theseus 281
 Thessaloniki, School of 764
 Third World literature 820
 Thirty Years War 361
 Thomas, B. 252
 Thomas, Ned 130
 Thomas, Ronald 615–16
 Thompson, E. P. 190
 Thompson, Hunter S. 458
 Thompson, Nicola 689
 Thomson, James 677
Thousand and One Nights 31, 58, 62, 128, 158, 326, 428, 573
 Tibetan authors 184
 Ticknor & Fields 677
 Tihanov, Galin: *Master and Slave* 87
- time** 811–17
 duration 813
 historical 815–17
 Lukács on 500
 modernism 522, 792, 813
 narrated/narrating 811, 812, 813
 narration 532
 narrative 536, 811–12
 in novels 811–12
 order 532
 perception of 497
 periodization 98
 plot 539–40
 representation of 550–1
 Russian novel 720
 and space 128
 story/discourse 801
 suspension of 814
The Times 599, 639
Times Literary Supplement 692
Tirant lo Blanc 401
Tit-Bits 734
 Tocqueville, Alexis de 668
 Todd, Richard 132
 Todorov, Tzvetan 86, 172, 356–7, 535, 801, 805
 Todorova, Maria 761–2
 token speech 251
tolstyi zhurnal (thick journal) 709–10
 Tomasello, M. 197
 Tomashevskii, Boris 70, 316, 319, 546, 801
 tomb autobiography 37
 Tommola, H. 259
 Tompkins, J. 262, 295, 297
 Toohey, Peter 282
 Toolan, M. 487
 topographia 234, 235
 Torgovnick, Marianna 194
 totalitarianism, satirized 723
 Towheed, Shafquat 214
 trade unions 475, 679, 683
 tragedy 193, 200, 201, 205–7
The Transatlantic Review 127
 transculturation 50, 146
 transformation 316–18
translation theory 817–22
 and adaptation 325
 comparativism 211
 copyright 214
 imperialism 818–19
 mass 817
 multilingualism 820–1

- novel 817–18, 819–20
 Schleiermacher 817
 unconscious 820
 translinguistics 356, 820–1
 transnational studies 353
 trauma stories 298, 484, 485
 travelers' tales 52, 107, 289, 484, 834
The Travels of Ibn Battuta 62
 tributary state system 35–7, 38, 40–3,
 45–7
 trickster tales 617
 Trilling, Lionel 661
 see also Index of Authors
 Trinidad and Tobago 144
 trivium 70, 487
 tropes 307–9
 Trotsky, Leon 505, 719
 Trotter, David 128
 Trousson, Raymond 331
 Troy 43
 Trudeau, Pierre Elliott 143
 Trudgill, P. 246
 Trujillo, Rafael Leónidas 255, 411, 471
 truth/fiction 300
 Tshivenda language 775
 Tsubouchi Shōyō 442
 Tsur, Ruven 200
 Tuareg tribes 65
 Tucker, R. 414
 Tunisia
 colonialism 572
 French language novel 580
 Neo-Destur 575
 novelists 63, 574–5, 577
 occupied 58
 social realism 575, 576
Turkey 822–7
 alphabet/language modernised 824
 author-intellectuals 825
 cosmopolitical texts 826–7
 EU accession 827
 existentialism 825
 feminism 825
 gender 824
 and Greece 763
 Kemalist Cultural Revolution 822
 magical realism 826
 novel 822–3
 postmodernism 827
 post-nationalism 826
 Republican literary postmodernism 825–7
 Turner, J. M. W. 419
 Turner, Mark 197, 200, 312
Tutinama 32
 twopenny library 477
 Tylor, E. B. 53, 524, 525
 Tynianov, I. 70, 318, 319
 type-casting, mechanical 599
 typesetter 830–1
typography 827–32
 Arabic script 597
 book production 601–2
 copyright 212
 East Asian script 597
 elite/popular novels 853
 Indic script 597
 innovation 639
 as metanarrative 601
 reprints 677
 spelling 3
 three-volume novels 118
 Tyre, sack of 46
 Uganda 268, 270
ujamaa socialist project 270
 Ukichi, Tagachi 391
 Ukrainian writers 720
ultraïsta movement 783
 ultramontanism 139
 UMA (Union du Maghreb Arab) 572, 578–80
 Uncle Remus stories 668
 unconscious
 Freud 342.629, 632–3
 novel 630–1
 selfhood 636
 translation 820
 undecidability 311, 808
 underground novel 716
 see also samidzat
 unfinalizability 84
 Union, Act of (UK) 678
 Union du Maghreb Arab (UMA) 572, 578–80
 Union of Libyan Writers 577
 United States of America
 African American novel 8–15
 censorship 157, 158
 Central American diaspora 164–5
 Chinese diaspora 187–8
 circulating libraries 476
 copyright 678–9
 detective novels 243–4
 dialect 247–8
 feminism/sexual difference 350
 foreign texts 678, 679–80

- United States of America (*Continued*)
- immigrant community periodicals 736
 - Mexican border 469
 - modernity 840–1
 - multiculturalism 565
 - national canon challenged 565
 - naturalism 569, 841–2
 - protectionism 682–3
 - public libraries 477
 - racism 297–8
 - regional fiction 670–1, 841–2
 - reprints 678, 682
 - serialization 731–2
 - slavery 298
 - subscription libraries 474
 - translations 818
- United States of America (19th century) 833–40**
- authors 833–4, 836
 - border crossing 838–40
 - canon 833
 - class 840
 - historical novel 835–6
 - polemics 834–5
 - readers 836
 - space/domesticity 836–8
 - urbanization 839–40
- United States of America (20th century) 840–9**
- contemporary novels 848–9
 - naturalism 841–2
 - 1920s 842–4
 - 1930s 844–5
 - 1940s and 1950s 845–7
 - postmodernism 847–8
 - regional fiction 841–2
- Universal Circulating Library 476
- Universal Copyright Convention 641, 683
- The Universal Magazine of Knowledge and Pleasure* 731
- University of Florida Press 830
- Untermeyer, Jean Starr 820
- Unwin, Stanley 127
- Unyǒng chǒn* 461
- urbanization
- Canada 140
 - Italy 436
 - Latin America 50
 - narrative 51
 - race 648–9
 - South Africa 770
 - USA 839–40
- Urdu language 749
- Urios-Aparisi, E. 314
- Uruguay 780
- Uspenskii, Boris 319
- usturah* (myth) 57
- utilitarianism 719–20, 770
- utopianism 414–15, 721
- utterance
- Bakhtin 356
 - character 487–8
 - constative 796–7, 799
 - descriptive 796–7
 - in fiction 301, 304, 490
 - performative 797, 799
 - see also* speech act
- vamsha* (lineages of kings) 30
- vamshanucarita* (deeds of royal dynasties) 30
- Van der Vlies, A. 769
- VanArsdel, R. T. 691
- vanguardia*, Southern Cone 783–4
- Vann, J. D. 691
- Vasudevahindi* 31
- Vattimo, G. 675
- Vedantic thought 611
- Vedic scriptures 28
- Venice 213
- Vénus dans le cloître* 329
- Venuti, L. 211, 818, 819, 821
- Vergangenheitsbewältigung* (mastering of the past) 366–8
- verisimilitude 220–4**
- Aristotle and Horace 221–2
 - French novel 341
 - French prose fiction 222–4
 - as plausibility 220–1
 - romance 703
 - space 794
- verismo* (type of naturalism) 435, 568
- vernacular language 89, 181–2, 215, 248, 755
- vernacular literature 21, 596, 755, 853
- Verwoerd, H. F. 771
- Vespucci, Amerigo 289
- Vetalapanchavimshati* 31
- Vickers, Brian 698
- Vickery, J. B. 54
- Vico, Giambattista 310
- Victoria, Queen 483
- Victorian era
- classics 3–4
 - consensus 116
 - femininity 262
 - homosexuality 299

- novel's supremacy 116
 queer theory 299
 self-editing 275
 serialization 737–8
 time frame of novels 122
La vida de Lazarillo de Tormes (Anon) 617
Vidas secas (Ramos) 98
 Vietnam 757, 760
 Vietnam War 8
 Vietnamese Americans 69
 Vinokur, Grigorii 316
 violence in naturalism 567
 Viranarasimha II 33
Virginia Quarterly Review 668
 Vishnu 28–9
 vision 551–2
 visual texts 482
 Viswanathan, G. 564
 vitalism 493
 Vivaldi, Antonio 148
vnenakhodimost (exotopy) 84
 Vogüé, Charles-Melchior 586
Volksgeist (national spirit) 562, 566
 Voloshinov, Valerian Nikolaevich 83
 Voortrekkers 770, 775–6
Voyage dans la lune (Méliès) 727

 Wagner, Richard 366, 675
 Wahab Ali, A. 751
 Wahrman, D. 177
 Wales 130, 474, 669
 Walker, John 657
 Waller, M. 332, 333
 Wallerstein, Immanuel 189
 Walsh, Richard 550, 559
 Walton, Kendall 300, 301, 304
 Wang Mang, the Usurper 24
Wanradti ja Koelli katekismus 88
Wanwöl hoemaengyön 461
 Ward, Ann 830
 Warhol, Robyn 553, 557–8
 Warner, M. 739
 Warner, William B. 227, 230
 Warren, Austin 211
 Warren, Robert Penn 535
 Warring States period 20, 25
 Warsaw, Yiddish literature centre 859
Water Margin: see Shuihu zhuan
 Watson, Burton 22
 Watson, J. 482, 483, 484, 486
 Watt, Ian
 formal realism 231
 French fiction 607
 resistance to 396
 The Rise of the Novel 191, 208, 225, 232, 261,
 263, 387, , 499, 592, 593, 676
 secularization 672, 673
 on Shakespeare 511
 Waugh, Patricia 514
 Wayang theater 175
 Webb, R. 234
 Weber, Max 416, 590, 672
 Webster, William 691
 Weedon, Alex 125
The Weekly Anglo-African 10, 734
Weekly Miscellany 691
 Weiss, J. 783
 Wellek, René 211, 528
 Welles, Orson 517
 Wen Jin 819
 Werner, M. 279
 West, James L., III 274
 West Indian immigrants 127, 131
 West Indian writers 127, 131
 Western traditions
 censorship 154
 comedy and tragedy 200
 genre 357
 love stories 202–3
 Virgil 35
 see also **ancient narratives of the West**
 Westernization 753, 823
Westminster Review 121, 691
 Weston, Jessie L. 54, 705
 Whalen, Terence 243
 Wharfedale press 599
 Whelehan, I. 8
 White, Hayden 22, 539, 540, 698
 White, John J. 527–8
 whiteness studies 296
 Whitlock, G. 484
 Whitman, Walt 483
The Whole Family (multi-authored) 737
 Wicke, Jennifer 125
 Wicks, U. 620
 Wilkie, David 418
 Williams, L. 509
 Williams, Raymond
 on class 188, 189
 hegemony 415
 literary networking 127
 on realism 396
 science of ideas 413
 works

- Williams, Raymond (*Continued*)
Border Country 130
The Country and the City 507
The English Novel 415, 506–7
- Williams, Susan 615
- Wilson, D. 309
- Wilson, Edmund 626
- Wilson, John 658
- Wimsatt, W. K. 70, 535, 694
- Winnett, Susan 548
- Winterbottom, Michael 8
- Winthrop, John 480, 835–6, 839
- wisdom literature 37
- Wist, J. B. 736
- witchcraft 26
- Wittgenstein, Ludwig 441
- Wolfe, Tom 666, 667
- Wolfram, W. 247
- Wollheim, Richard 305
- Woloch, Alex 174–5
- women of color 296–7, 350
- women readers 125, 191, 475
- women writers
 Africa, Eastern and Central 271
 British 118–19
 China 184
 class 190
 dialect 248
 feminism 262
 genres 295
 in Hebrew 381
 Korea 461
 Mexico 517–19
 novel 81
 South Korea 464
 women readers 125
- women's movement 295
see also feminism
- Wong, Sau-ling Cynthia 65
- Wood, James 699
- Wood, Mary Elizabeth 479
- Wood, Michael 211
- Wood, N. 165
- woodblock prints 596, 597
- woodcuts 418–19
- Woodmansee, Martha 80
- Woolsey, John M. 157
- Wordsworth, Dorothy 483
- Wordsworth, William 483
- World Copyright Treaty 217
- World Intellectual Property
 Organisation 217
- world literature 442, 562, 785, 818
- World Trade Organization 683
- worldview in narrative 199
- Wright, Joe 8
- writerly text 71, 627, 718, 808
- writers of color 292
see also **African American novel**
- writing back 2, 3, 246, 292
- writing to the moment 231
- Wu, Emperor 20
- wuxia xiaoshuo* (martial arts novel) 187
- Wynne, Deborah 731
- Xerxes 39
- Xia Dynasty 17
- xianfeng wenxue* (avant-garde literature)
 183
- Xiang Yu 23
- xiao shuo* (fiction in Chinese) 18,
 21, 395
- xiaoshuo* term (fiction) 178, 390
- Xin qingnian* 181
- Xingshi yinyuan zhuan* (*Marriage Destinies to
 Awaken the World*) 27
- Xiongnu tribes 17
- Xitsonga language 775
- Xiyou ji* (*Journey to the West*) 179, 180, 187,
 203, 206
- Xuanzang 180
- Yacobi, T. 561
- Yavari, H. 428
- Yeats, William Butler 217
- Yehud (Judaea) 36, 37
- yellowback novels 600
- Yiddish 379, 451, 453, 454–5
- Yiddish novel** 380–1, **859–60**
- Yorkshire Observer* 480
- Yoruba theater 201
- Young Adult novels 159
- Yu, Pauline 210
- Yuan Dynasty 18, 19, 202
- Yugoslavia
 break-up of 762
 ethnic wars 497
 historical novels 765
 liberalization 766
 literature 763
 precursor to 763
 socialist realism 765
 taboo subjects 768
 writers 564

- Zabus, C. 820
 Zacharek, Stephanie 737–8
 Zaid, G. 642
 Zaire 357
zaju drama 203, 206
 Zambia 779
 Zaydan, Joseph 64
 Zaytuna Mosque 578–9
 Zeidan, J. T. 60
 Zeitlin, J. 390
Zenithism movement 763
zeugma 307, 309, 314
 Zhang Xuecheng 382
 Zhang Yimou 185
zhanghui xiaoshuo (novel) 178
Zhanguo ce (*Intrigues of the Warring States*) 21
 Zhdanov, Andrei 720–1
zhi guai (records of anomalies) 26
zhongpian xiaoshuo (novellas) 178
 Zhu Xi 25
Zhuang zi (Zhuang Zhou) 25
 Zimbabwe
 dialect 249
 early writers 268
 independence 777
 künstlerroman 96
 national traditions 267
 novelists 778
 Shona culture 270–1, 779
 Ziolkowski, Theodore 208
 Zionism 380, 381
 Žižek, Slavoj 413, 416
 Žižka, Jan 167
 Zunshine, L. 198, 200, 548
Zuo zhuan (*Zuo Commentary*) 20, 22
 Zwicker, J. 394

An advanced reference resource featuring nearly 150 contributors and over 500,000 words, *The Encyclopedia of the Novel* provides authoritative accounts of the history, terminology, genre, and theory of the novel.

The entries in this encyclopedia are written by an international cast of scholars and overseen by an advisory board of 37 leading specialists in the field. Arranged in A–Z format across two fully indexed and meticulously cross-referenced volumes, the entries explore the history and tradition of the novel in different areas of the world; formal elements of the novel (such as narrative structure, plot, character, and narrative perspective); technical aspects of the genre (such as realism, dialogue, and style); subgenres, including the bildungsroman and the graphic novel; theoretical problems; book history; and the relationship of the novel to other arts and disciplines.

The Wiley-Blackwell Encyclopedia of Literature is a comprehensive, scholarly, authoritative, and critical overview of literature and theory comprising individual titles covering key literary genres, periods, and sub-disciplines. Available both in print and online, this groundbreaking resource provides students, teachers, and researchers with cutting-edge scholarship in literature and literary studies.



www.literatureencyclopedia.com

Cover image: © joingate/Shutterstock
Cover design: www.simonlevyassociates.co.uk

 **WILEY-BLACKWELL**
www.wiley.com/wiley-blackwell

