

This Land/Pocomoke River

On the Way to Chesapeake Bay

By Robert H. Mohlenbrock

Starting as a trickle six miles west of Millsboro, Delaware, the Pocomoke River meanders for about seventy miles through the Delmarva Peninsula, which separates the Atlantic Ocean from Chesapeake Bay.

(The peninsula derives its name from Delaware, Maryland, and Virginia, the three states that share it.) Along its ever-widening route, the river is lined with magnificent bottomland forests.

In several places, backwaters have formed swamps, and where the river

*A bald cypress grows beside the
Pocomoke River.*

All photographs by David W. Hoop

Field
Guide

finally empties into Pocomoke Sound, it mixes with seawater to form brackish wetlands.

About halfway along its course, at a back-road bridge in Maryland known as Porter's Crossing, the Pocomoke is more than fifty feet across. Visited only by hikers and fishermen, the woods here are relatively undisturbed, except where U.S. Highway 12 crosses the river, one mile to the southwest. The terrain is generally flat, but shallow depressions fill with water following heavy rains. Common trees in the forest are red maple, green ash, sweet gum, and American elm. A few bald cypress trees, some more than seventy-five feet tall, grow in the wetter areas, their knobby-topped "knees" protruding above the soil. These stately trees are near the northern limit of their range.

About twelve miles southwest of Porter's Crossing, midway between the towns of Snow Hill and Pocomoke City, the backwaters from the river have created a scenic swamp that contains myriad wetland species. The swamp falls within Shad Landing, part of Pocomoke River State Park, accessible off U.S. Highway 113. The Trail of Change, a half-mile loop trail that begins in dry upland forest and passes for three hundred feet through the river swamp, allows visitors to see swamp plants without getting their feet wet.

For an eighth of a mile, the needle-covered trail passes beneath a canopy of loblolly pine, blackjack oak, southern red

oak, and red maple, rounded out by an assortment of shorter trees. Because the fallen pine needles create an acidic soil, the forest floor is relatively bare, except for some acid-tolerant species. As the trail drops down, small, red-barked trees with shiny leaves herald a transition zone bordering the swamp. These are mountain laurels, members of the same species that is common in the Appalachian Mountains.

The trail bottoms out in the river swamp, a forested habitat with standing water. Small mounds of soil, many capped with sphagnum moss, rise above the water, which is shallow. Because of the spongy nature of the underlying soil, however, walking out into the water or stepping onto the mounds is hazardous.

Southwest of Shad Landing, Highway 113 reaches U.S. Highway 13, which crosses southward into the Virginia part of the Delmarva Peninsula. About eight miles south of the state boundary, Virginia Route 695 leads west to the Saxis Marsh Wildlife Management Area, on the edge of Pocomoke Sound. Here, where the fluctuating tides of Chesapeake Bay mix with the fresh river water, is a brackish marsh, a meadowlike area consisting of salt-tolerant species.

Robert H. Mohlenbrock, professor emeritus of plant biology at Southern Illinois University, Carbondale, explores the biological and geological highlights of United States national forests and other parklands.

For visitor information, write:

Pocomoke River State Park
3461 Worcester Highway
Snow Hill
MD 21863
(410) 632-2566

Saxis Marsh Wildlife Management Area
Department of Game and Inland Fisheries
P.O. Box 11104
Richmond VA 23230
(804) 367-9369



Mountain laurel along the Trail of Change

Bottomland forest consists mainly of red maple, green ash, sweet gum, and American elm but also includes species that are more common in the South, such as bald cypress, willow oak, overcup oak, and swamp chestnut oak. In addition, cross vine, a typically southern species, crawls up the trunks of several of these trees. Its leaves grow in double pairs along the stem, and it has two-inch-long tubular flowers that are red on the outside and yellow on the inside. The predominant tree next to the river is river birch, whose papery bark sheds to reveal a lovely pinkish underbark.

Shrubs seldom grow in significant concentrations. Among them are sweet pepperbush, with spikes of white flowers, and winterberry, a holly whose brilliant red berries persist even after the leaves have fallen off. Buttonbush grows in the wettest depressions. Its spheres of crowded white flowers, which bloom in early summer, give way later in the season to round seed balls.

The forest floor supports colonies of coarse royal fern, sensitive fern, and netted chain fern, as well as a large variety of flowering plants, particularly grasses and sedges. Patches of creeping dayflower—a succulent-leaved relative of spiderworts—are plentiful, but this is a nonnative species from Asia.

Upland forest trees forming the upper canopy are loblolly pine, blackjack oak, southern red oak, and red maple. Beneath these is a lower

canopy dominated by sassafras, notable for bearing leaves in three shapes (unlobed, two-lobed, and three-lobed); Juneberry,



The lower Pocomoke River, near Shelltown, Maryland

whose clusters of inch-long white flowers bloom before the leaves emerge in early spring; and American hornbeam, also known as ironwood, blue beech, or musclewood. American holly and flowering dogwood are also common.

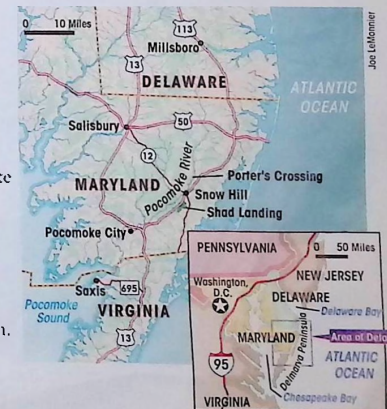
Low-bush blueberry and black huckleberry are two low-growing, wiry shrubs that appear nearly identical. (They can be distinguished on close inspection of their leathery leaves, preferably with a hand lens: the huckleberry leaves are covered with tiny black dots.) Both produce dark, edible berries. Crawling on the ground is partridgeberry, with its coin-shaped leaves and red berries; and creeping bush clover, which has three-parted, cloverlike leaves and tiny purplish flowers. The green-and-white leaves of wintergreen and the flower of the pink lady-slipper orchid may highlight the forest floor.

River swamp is dominated by bald cypress, with sweet bay magnolia and green ash as the prominent broad-leaved trees. Among the countless

smartweeds are so named because the short prickles on their stems are sharp enough to break the skin if stroked in the wrong direction. Among the wildflowers are a diminutive orchid with greenish white flowers (*Platanthera clavellata*), white turtlehead with inch-long flowers, lizard's-tail, pink Saint-John's-wort, water horehound, tiny white bedstraws, and six-foot-tall water hemlock and cow parsley. Ferns range from the delicate marsh fern to the mid-sized netted chain fern and the huge cinnamon and royal ferns.

Brackish marsh harbors robust stands of salt marsh cordgrass and seaside bulrush, which grow up to five feet tall. Even taller are the shrubby marsh elders and groundsel bushes. Seas of soft, green salt meadow cordgrass contrast with stiff, dark needle rushes. A dwarf spikerush grows no more than three inches tall. The threadlike stems of widgeon grass are common in the brackish water.

The grasses, sedges, and wildflowers in the river swamp are equally diverse. Grasses range from the foot-tall, delicate white grass to the much taller, more robust wood reed. Two kinds of tearthumbs sprawl over low vegetation. These relatives of



Celestial Events

The Lions Roar

By Joe Rao

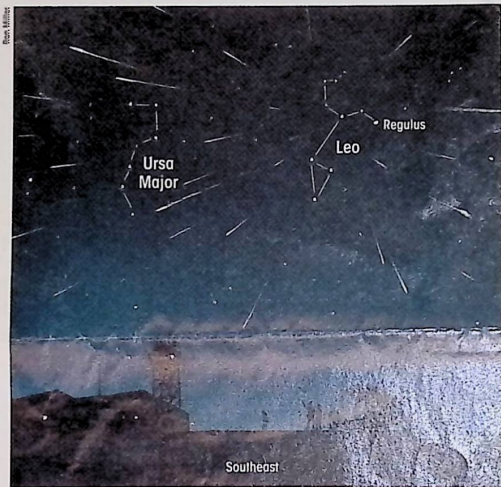
The annual Leonid meteor shower is expected to be especially intense this year (and next) thanks to comet Tempel-Tuttle's recent pass through the inner solar system, a phenomenon that occurs roughly every thirty-three years. Because there hasn't been a meteor storm of this magnitude since the beginning of

the space age, people are wondering how the storm will affect the 500-plus satellites that are used for worldwide communications, navigation, and weather watching.

The "showers" we see are actually the brief, glowing tracks left by particles of heated-up comet debris passing through Earth's upper atmosphere. The particles won't reach our planet itself, but hurtling through space at speeds approaching forty-five miles per second, they can inflict at least surface damage on satellites. They may also poke holes in solar panels, pit lenses, destroy the reflective coating of mirrors, and short out electrical systems. (Military satellites may fare better than most because they are built to withstand nuclear assault.) In anticipation of the onslaught, commercial and military satellite operators, scientists, and insurance representatives met in Manhattan Beach, California, last April to discuss how to prepare for it.

Earth will pass closest to the comet's orbit at 2:00 P.M., EST, on November 17—perfect timing to view the showers from Japan and Australia but, unfortunately, a daylight hour in North America. Still, there's a small chance that a meteor storm might occur some hours earlier or later. Thus, observers in the Western Hemisphere should be on the lookout for Leonids on the nights of November 16–17 and 17–18. The meteors appear to emanate from the sickle of the constellation Leo, hence their name. If you plan to look for them, keep in mind that Leo rises in the east around midnight and that at dawn the constellation appears high toward the south-southeast.

Joe Rao is a lecturer at the American Museum–Hayden Planetarium.



This year's Leonid meteor shower is expected to be the best in thirty-three years.

The Sky in November

Mercury reaches its greatest eastern elongation (distance from the Sun) on the 11th. This is its worst evening apparition of the year for viewers at midnorthern latitudes. Seeing it is unlikely, since it is immersed in evening twilight and very low near the southwest horizon.

Venus is still too close to the Sun to be visible this month.

Mars brightens in November, but at magnitude 1.5, it is less than spectacular. The planet rises at about 2:00 A.M. local time and is very high in the southeast in the dawn sky. The Moon is above and to the right of Mars on the morning of the 13th.

Jupiter is still an impressive sight at magnitude -2.7. Look for it in the south-southeast at nightfall. It sets between midnight and 2:00 A.M. The Moon is quite close to Jupiter

on the evening of the 27th.

Saturn, in Pisces, at magnitude -0.1, can be found in the east-southeast at dusk; it sets between 4:30 A.M. and 6:30 A.M. The Moon visits the planet twice this month: it is just to the right of Saturn on the evening of November 2 and to the left of it on the 30th.

The Moon is full on November 4 at 12:18 A.M. It reaches last quarter on the

10th at 7:28 P.M., new phase on the 18th at 11:27 P.M., and first quarter on the 26th at 7:23 P.M. The Moon is at its closest to Earth this year (221,700 miles) at 8:00 P.M. on November 3, and its proximity will produce a wide range of high and low tides. An almost-full Moon will occult (hide) the star Aldebaran between roughly 7:00 P.M. and 8:00 P.M. on November 5.

Unless otherwise noted, times are given in eastern standard time.

four-year-olds—those most likely to have college-age kids—was \$58,000.

I doubt this explains all the economic disparities Douthat complains of, but I suspect it explains a lot of them.

*Dave Munger
Charlotte, N.C.*

Ross Douthat's article was very interesting to me. I worked as a social worker for seven years for the state of Alabama and therefore had extensive contact with the poor. In order to work with them more effectively, I would send them for a psychological evaluation and IQ test. Their scores on the IQ tests were consistently low, around 75 to 80. This is the reason the poor are not attending college in large numbers. They do not have the intelligence (an IQ of 110 or higher) necessary to do college-level work.

My poor clients frequently told me they liked to work with their hands. They wanted good-paying factory jobs. We need to accept the lower quadrant in society with their limitations, and not outsource all the factory jobs overseas. All work is honorable. These people can contribute to society.

Seventy-five percent of the population has an IQ under 110. A Department of Education study shows twenty-nine out of every 100 students getting a degree, which is predictable if we consider how IQ limits who can do college-level work. I do not agree with Douthat's statement that IQ is not inherited. Studies of children who are adopted show that they have IQs within five points of their biological parents', regardless of their environment.

Colleges are not discriminating against lower-income people; nature has limited what they can do. Perhaps the intellectual elite should have more contact with the poor so that they can understand them better before they write articles about them.

*Katherine Owen Sechrist
Mountain Brook, Ala.*

I am in full agreement with Ross Douthat that higher education is not always about meritocracy. The barriers to college attendance and graduation for low-income students are immense and unreasonable, and too many insti-

tutions and individuals in higher education lose sight of social justice in the largely artificial rankings race. We need to get creative about admissions solutions, because higher education is and should be accessible to all students regardless of their ability to pay. The more higher education reproduces socioeconomic inequities, the more our society loses in terms of progressive thought, practice, and innovation.

However, Douthat's argument that graduates of elite or highly selective schools enjoy a lifetime of advantage completely discounts the fact that many of them work to reverse social and economic inequities in their postgraduate lives. Many have a "pay it forward" mentality that places a premium on using their education to change society in positive, more egalitarian ways. Students who have been raised with more resources than others often share this commitment with their families.

My fellow Stanford graduates (class of 1994), themselves from diverse economic backgrounds, are spread around the world, working to improve conditions among the impoverished and the disadvantaged on a global scale. Closer to home, they are in county hospitals, public schools, and philanthropic organizations. They are leading diversity initiatives in the workplace, mentoring young people who have few other sources of social support, and imbuing business with social consciousness. They are raising children with an emphasis on thinking outward, not inward. They are not fanning privilege.

*Shannon Gilmartin
Los Angeles, Calif.*

Ross Douthat replies:

Dave Munger makes a good point about how family income changes with parental age; ideally, studies of family income and college access would focus specifically on families with college-age students. I'm skeptical, however, that parental age explains "a lot" of the economic disparities. The child of a family earning the median income he cites, for instance, would have at least a 15 percent chance of earning a bachelor's degree by age twenty-four. A child from a family making more than \$90,000, on the other hand, has a 50 per-

cent chance of earning a B.A. over the same period.

I will not wade into the marshes of the IQ debate, but Katherine Owen Sechrist is no doubt right that many young Americans would be unlikely to succeed in college, or attend at all, even with a more level admissions playing field. The problem is that many low-income students who are prepared for college, and who score well on standardized tests, either don't go or enroll and then drop out after encountering economic and cultural hurdles. It's this population we should be concerned about, for the sake of both social mobility and America's long-term economic competitiveness.

And I only wish I could believe Shannon Gilmartin's appealing but unsupported assertion that more than a small percentage of young elites will spend their lives "working to improve conditions among the impoverished and the disadvantaged on a global scale."

BHL

I enjoyed Bernard-Henri Lévy's account of his visit with Norman Mailer in Provincetown ("In the Footsteps of Tocqueville," November *Atlantic*). His comments, however, do not reveal a close reading of Mailer's work. Lévy says that the hero of *Tough Guys Don't Dance* is gay. Tim Madden is straight, as is clearly revealed in several places in the novel, especially in the long opening conversation with his father. A more egregious error is Lévy's assertion that Mailer is "the most secular of American novelists." Even a cursory reading of *Advertisements for Myself*, *Of a Fire on the Moon*, *Miami* and *The Siege of Chicago*, or, most important, *The Gospel According to the Son* reveals Mailer's deep, idiosyncratic religiosity. For more than forty years he has written about his belief in a limited, imperfect God locked in a struggle with a powerful and wily Devil. Humanity is a third, often co-equal force, sometimes on the side of good and sometimes on that of evil. Mailer's well-considered theological beliefs are palpably obvious to his readers, who are many.

*J. Michael Lennon
Wilkes University
Wilkes-Barre, Pa.*

THE DIALOGIC IMAGINATION

Four Essays

by
M. M. BAKHTIN

*Edited by
Michael Holquist*

*Translated by
Caryl Emerson and Michael Holquist*

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EPIC AND NOVEL

Toward a Methodology for the Study of the Novel

The study of the novel as a genre is distinguished by peculiar difficulties. This is due to the unique nature of the object itself: the novel is the sole genre that continues to develop, that is as yet uncompleted. The forces that define it as a genre are at work before our very eyes: the birth and development of the novel as a genre takes place in the full light of the historical day. The generic skeleton of the novel is still far from having hardened, and we cannot foresee all its plastic possibilities.

We know other genres, as genres, in their completed aspect, that is, as more or less fixed pre-existing forms into which one may then pour artistic experience. The primordial process of their formation lies outside historically documented observation. We encounter the epic as a genre that has not only long since completed its development, but one that is already antiquated. With certain reservations we can say the same for the other major genres, even for tragedy. The life they have in history, the life with which we are familiar, is the life they have lived as already completed genres, with a hardened and no longer flexible skeleton. Each of them has developed its own canon that operates in literature as an authentic historical force.

All these genres, or in any case their defining features, are considerably older than written language and the book, and to the present day they retain their ancient oral and auditory characteristics. Of all the major genres only the novel is younger than writing and the book: it alone is organically receptive to new norms of mute perception, that is, to reading. But of critical importance here is the fact that the novel has no canon of its own, as do other genres; only individual examples of the novel are historically active, not a generic canon as such. Studying other genres is analogous to studying dead languages; studying the novel, on the other hand, is like studying languages that are not only alive, but still young.

This explains the extraordinary difficulty inherent in formulating a theory of the novel. For such a theory has at its heart an object of study completely different from that which theory treats in other genres. The novel is not merely one genre among other genres. Among genres long since completed and in part already dead, the novel is the only developing genre. It is the only genre that was born and nourished in a new era of world history and therefore it is deeply akin to that era, whereas the other major genres entered that era as already fixed forms, as an inheritance, and only now are they adapting themselves—some better, some worse—to the new conditions of their existence. Compared with them, the novel appears to be a creature from an alien species. It gets on poorly with other genres. It fights for its own hegemony in literature; wherever it triumphs, the other older genres go into decline. Significantly, the best book on the history of the ancient novel—that by Erwin Rohde^a—does not so much recount the history of the novel as it does illustrate the process of disintegration that affected all major genres in antiquity.

The mutual interaction of genres within a single unified literary period is a problem of great interest and importance. In certain eras—the Greek classical period, the Golden Age of Roman literature, the neoclassical period—all genres in "high" literature (that is, the literature of ruling social groups) harmoniously reinforce each other to a significant extent; the whole of literature, conceived as a totality of genres, becomes an organic unity of the highest order. But it is characteristic of the novel that it never enters into this whole, it does not participate in any harmony of the genres. In these eras the novel has an unofficial existence, outside "high" literature. Only already completed genres, with fully formed and well-defined generic contours, can enter into such a literature as a hierarchically organized, organic whole. They can mutually delimit and mutually complement each other, while yet preserving their own generic natures. Each is a unit, and all units are interrelated by virtue of certain features of deep structure that they all have in common.

a. Erwin Rohde (1845–1898), *Der Griechische Roman und seine Vorläufer* (1876, but many later editions, most recently that published by F. Olds [Hildesheim, 1960]), "one of the greatest monuments of nineteenth-century classical scholarship in Germany. It has never really ever been superseded. But see: Ben F. Perry, *The Ancient Romances* (Berkeley, 1967) and Arthur Heiserman, *The Novel before the Novel* (Chicago, 1977).

beneath the superficial hustle and bustle of literary process the major and crucial fates of literature and language, whose great heroes turn out to be first and foremost genres, and whose "trends" and "schools" are but second- or third-rank protagonists.

The utter inadequacy of literary theory is exposed when it is forced to deal with the novel. In the case of other genres literary theory works confidently and precisely, since there is a finished and already formed object, definite and clear. These genres preserve their rigidity and canonic quality in all classical eras of their development; variations from era to era, from trend to trend or school to school are peripheral and do not affect their ossified generic skeleton. Right up to the present day, in fact, theory dealing with these already completed genres can add almost nothing to Aristotle's formulations. Aristotle's poetics, although occasionally so deeply embedded as to be almost invisible, remains the stable foundation for the theory of genres. Everything works as long as there is no mention of the novel. But the existence of novelized genres already leads theory into a blind alley. Faced with the problem of the novel, genre theory must submit to a radical re-structuring.

Thanks to the meticulous work of scholars, a huge amount of historical material has accumulated and many questions concerning the evolution of various types of novels have been clarified—but the problem of the novel genre as a whole has not yet found anything like a satisfactory principled resolution. The novel continues to be seen as one genre among many; attempts are made to distinguish it as an already completed genre from other already completed genres, to discover its internal canon—one that would function as a well-defined system of rigid generic factors. In the vast majority of cases, work on the novel is reduced to mere cataloging, a description of all variants on the novel—albeit as comprehensive as possible. But the results of these descriptions never succeed in giving us as much as a hint of comprehensive formula for the novel as a genre. In addition, the experts have not managed to isolate a single definite, stable characteristic of the novel—without adding a reservation, which immediately disqualifies it altogether as a generic characteristic.

Some examples of such "characteristics with reservations" would be: the novel is a multi-layered genre (although there also exist magnificent single-layered novels); the novel is a precisely plotted and dynamic genre (although there also exist novels that

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with reservations (although there also novel is a precisely so exist novels that

push to its literary limits the art of pure description); the novel is a complicated genre (although novels are mass produced as pure and frivolous entertainment like no other genre); the novel is a love story (although the greatest examples of the European novel are utterly devoid of the love element); the novel is a prose genre (although there exist excellent novels in verse). One could of course mention a large number of additional "generic characteristics" for the novel similar to those given above, which are immediately annulled by some reservation innocently appended to them.

Of considerably more interest and consequence are those normative definitions of the novel offered by novelists themselves, who produce a specific novel and then declare it the only correct, necessary and authentic form of the novel. Such, for instance, is Rousseau's foreword to his *La Nouvelle Héloïse*, Wieland's to his *Agathon*,^d Wezel's to his *Tobias Knouts*;^e in such a category belong the numerous declarations and statements of principle by the Romantics on *Wilhelm Meister*, *Lucinda* and other texts. Such statements are not attempts to incorporate all the possible variants of the novel into a single eclectic definition, but are themselves part and parcel of the living evolution of the novel as a genre. Often they deeply and faithfully reflect the novel's struggle with other genres and with itself (with other dominant and fashionable variants of the novel) at a particular point in its development. They come closer to an understanding of the peculiar position of the novel in literature, a position that is not commensurate with that of other genres.

Especially significant in this connection is a series of statements that accompanied the emergence of a new novel-type in the eighteenth century. The series opens with Fielding's reflection on the novel and its hero in *Tom Jones*. It continues in Wie-

^d Christoph Martin Wieland (1733–1813) is the author of *Geschichte des Agathon* (1767, first of many versions), an autobiographic novel in the guise of a Greek romance, considered by many to be the first in the long line of German *Bildungsromane*.

^e Reference here is to Johann Carl Wezel (1747–1819), *Lebensgeschichte Tobias Knouts, des Weisen, sonst der Stammler genannt* (1773), a novel that has received the readership it deserves. A four-volume reprint was published by Metzler (Stuttgart, Afterword by Viktor Lange) in 1971. Also see, Elizabeth Holzberg-Pfenniger, *Der desorientierte Erzähler: Studien zu J. C. Wezels Lebensgeschichte des Tobias Knauts* (Bern, 1976).

land's foreword to *Agathon*, and the most essential link in the series is Blankenburg's *Versuch über den Roman*.^f By the end of this series we have, in fact, that theory of the novel later formulated by Hegel. In all these statements, each reflecting the novel in one of its critical stages (*Tom Jones*, *Agathon*, *Wilhelm Meister*), the following prerequisites for the novel are characteristic: (1) the novel should not be "poetic," as the word "poetic" is used in other genres of imaginative literature; (2) the hero of a novel should not be "heroic" in either the epic or the tragic sense of the word: he should combine in himself negative as well as positive features, low as well as lofty, ridiculous as well as serious; (3) the hero should not be portrayed as an already completed and unchanging person but as one who is evolving and developing, a person who learns from life; (4) the novel should become for the contemporary world what the epic was for the ancient world (an idea that Blankenburg expressed very precisely, and that was later repeated by Hegel).

All these positive prerequisites have their substantial and productive side—taken together, they constitute a criticism (from the novel's point of view) of other genres and of the relationship these genres bear to reality: their stilted heroizing, their narrow and unlikelike poeticalness, their monotony and abstractness, the pre-packaged and unchanging nature of their heroes. We have here, in fact, a rigorous critique of the literariness and poeticalness inherent in other genres and also in the predecessors of the contemporary novel (the heroic Baroque novel and the Sentimental novels of Richardson). These statements are reinforced significantly by the practice of these novelists themselves. Here the novel—its texts as well as the theory connected with it—emerges consciously and unambiguously as a genre that is both critical and self-critical, one fated to revise the fundamental concepts of literariness and poeticalness dominant at the time. On the one hand, the contrast of novel with epic (and the novel's op-

f. Friedrich von Blankenburg (1744–1796), *Versuch über den Roman* (1774), an enormous work (over 500 pages) that attempts to define the novel in terms of a rudimentary psychology, a concern for *Tugend* in the heroes. A facsimile edition was published by Metzler (Stuttgart) in 1965. Little is known about Blankenburg, who is also the author of an unfinished novel with the imposing title *Beytrage zur Geschichte deutschen Reichs und deutschen Sitten*, the first part of which appeared a year after the *Versuch* in 1775.

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position to the epic) is but one moment in the criticism of other literary genres (in particular, a criticism of epic heroization); but on the other hand, this contrast aims to elevate the significance of the novel, making of it the dominant genre in contemporary literature.

The positive prerequisites mentioned above constitute one of the high-points in the novel's coming to self-consciousness. They do not yet of course provide a theory of the novel. These statements are also not distinguished by any great philosophical depth. They do however illustrate the nature of the novel as a genre no less—if perhaps no more—than do other existing theories of the novel.

I will attempt below to approach the novel precisely as a genre-in-the-making, one in the vanguard of all modern literary development. I am not constructing here a functional definition of the novelistic canon in literary history, that is, a definition that would make of it a system of fixed generic characteristics. Rather, I am trying to grope my way toward the basic structural characteristics of this most fluid of genres, characteristics that might determine the direction of its peculiar capacity for change and of its influence and effect on the rest of literature.

I find three basic characteristics that fundamentally distinguish the novel in principle from other genres: (1) its stylistic three-dimensionality, which is linked with the multi-languaged consciousness realized in the novel; (2) the radical change it effects in the temporal coordinates of the literary image; (3) the new zone opened by the novel for structuring literary images, namely, the zone of maximal contact with the present (with contemporary reality) in all its openendedness.

These three characteristics of the novel are all organically interrelated and have all been powerfully affected by a very specific rupture in the history of European civilization: its emergence from a socially isolated and culturally deaf semipatriarchal society and its entrance into international and interlingual contacts and relationships. A multitude of different languages, cultures and times became available to Europe, and this became a decisive factor in its life and thought.

In another work¹ I have already investigated the first stylistic

¹ Cf. the article "From the Prehistory of Novelistic Discourse" in the present volume.

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peculiarity of the novel, the one resulting from the active polyglossia of the new world, the new culture and its new creative literary consciousness. I will summarize here only the basic points.

Polyglossia had always existed (it is more ancient than pure, canonic monoglossia), but it had not been a factor in literary creation; an artistically conscious choice between languages did not serve as the creative center of the literary and language process. Classical Greeks had a feeling both for "languages" and for the epochs of language, for the various Greek literary dialects (tragedy is a polyglot genre), but creative consciousness was realized in closed, pure languages (although in actual fact they were mixed). Polyglossia was appropriated and canonized among all the genres.

The new cultural and creative consciousness lives in an actively polyglot world. The world becomes polyglot, once and for all and irreversibly. The period of national languages, coexisting but closed and deaf to each other, comes to an end. Languages throw light on each other: one language can, after all, see itself only in the light of another language. The naïve and stubborn coexistence of "languages" within a given national language also comes to an end—that is, there is no more peaceful co-existence between territorial dialects, social and professional dialects and jargons, literary language, generic languages within literary language, epochs in language and so forth.

All this set into motion a process of active, mutual cause-and-effect and interillumination. Words and language began to have a different feel to them; objectively they ceased to be what they had once been. Under these conditions of external and internal interillumination, each given language—even if its linguistic composition (phonetics, vocabulary, morphology, etc.) were to remain absolutely unchanged—is, as it were, reborn, becoming qualitatively a different thing for the consciousness that creates in it.

In this actively polyglot world, completely new relationships are established between language and its object (that is, the real world)—and this is fraught with enormous consequences for all the already completed genres that had been formed during eras of closed and deaf monoglossia. In contrast to other major genres, the novel emerged and matured precisely when intense activation of external and internal polyglossia was at the peak of its activity; this is its native element. The novel could therefore assume leadership in the process of developing and renewing literature in its linguistic and stylistic dimension.

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In the above-mentioned work I tried to elucidate the profound stylistic originality of the novel, which is determined by its connection with polyglossia.

Let us move on to the two other characteristics, both concerned with the thematic aspect of structure in the novel as a genre. These characteristics can be best brought out and clarified through a comparison of the novel with the epic.

The epic as a genre in its own right may, for our purposes, be characterized by three constitutive features: (1) a national epic past—in Goethe's and Schiller's terminology the "absolute past"—serves as the subject for the epic;⁸ (2) national tradition (not personal experience and the free thought that grows out of it) serves as the source for the epic; (3) an absolute epic distance separates the epic world from contemporary reality, that is, from the time in which the singer (the author and his audience) lives.

We will deal in more detail with each of these constitutive features of the epic.

The world of the epic is the national heroic past: it is a world of "beginnings" and "peak times" in the national history, a world of fathers and of founders of families, a world of "firsts" and "bests." The important point here is not that the past constitutes the content of the epic. The formally constitutive feature of the epic as a genre is rather the transferral of a represented world into the past, and the degree to which this world participates in the past. The epic was never a poem about the present, about its own time (one that became a poem about the past only for those who came later). The epic, as the specific genre known to us today, has been from the beginning a poem about the past, and the authorial position immanent in the epic and constitutive for it (that is, the position of the one who utters the epic word) is the environment of a man speaking about a past that is to him inaccessible, the reverent point of view of a descendent. In its style, tone and manner of expression, epic discourse is infinitely far removed from discourse of a contemporary about a contemporary addressed to con-

⁸ Reference here is to "Über epische und dramatische Dichtung," coined by Schiller and Goethe, but probably written by the latter in 1797, although not published until 1827. The actual term used by Goethe for what Schiller is calling "absolute past" is *vollkommen vergangen*, which is opposed not to the novel, but to drama, which is defined as *vollkommen gegenwärtig*. The essay can be found in Goethe's *Sämtliche Werke* (Jubiläums-Ausgabe, Stuttgart and Berlin [1902-1907]), vol. 36, pp. 149-152.

temporaries ("Onegin, my good friend, was born on the banks of the Neva, where perhaps you were also born, or once shone, my reader. . ."). Both the singer and the listener, immanent in the epic as a genre, are located in the same time and on the same evaluative (hierarchical) plane, but the represented world of the heroes stands on an utterly different and inaccessible time-and-value plane, separated by epic distance. The space between them is filled with national tradition. To portray an event on the same time-and-value plane as oneself and one's contemporaries (and an event that is therefore based on personal experience and thought) is to undertake a radical revolution, and to step out of the world of epic into the world of the novel.

It is possible, of course, to conceive even "my time" as heroic, epic time, when it is seen as historically significant; one can distance it, look at it as if from afar (not from one's own vantage point but from some point in the future), one can relate to the past in a familiar way (as if relating to "my" present). But in so doing we ignore the presentness of the present and the pastness of the past; we are removing ourselves from the zone of "my time," from the zone of familiar contact with me.

We speak of the epic as a genre that has come down to us already well defined and real. We come upon it when it is already completely finished, a congealed and half-moribund genre. Its completedness, its consistency and its absolute lack of artistic naiveté bespeak its old age as a genre and its lengthy past. We can only conjecture about this past, and we must admit that so far our conjectures have been rather poor. Those hypothetical primordial songs that preceded both the epic and the creation of a generic epic tradition, songs about contemporaries that directly echoed events that had just occurred—such songs we do not know, although we must presume they existed. We can only guess at the nature of those original *aëdonic* songs, or of the cantilenas. And we have no reason to assume that they are any more closely related to the later and better-known epic songs than to our topical *feuilletons* or popular ditties. Those heroicized epic songs about contemporaries that *are* available to us and that we *do* know existed arose only after the epic was already an established form, and arose on the basis of an already ancient and powerful epic tradition. These songs transfer to contemporary events and contemporaries the ready-made epic form; that is, they transfer to these events the time-and-value contour of the past, thus attaching

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them to the world of fathers, of beginnings and peak times—canonizing these events, as it were, while they are still current. In a patriarchal social structure the ruling class does, in a certain sense, belong to the world of "fathers" and is thus separated from other classes by a distance that is almost epic. The epic incorporation of the contemporary hero into a world of ancestors and founders is a specific phenomenon that developed out of an epic tradition long since completed, and that therefore is as little able to explain the origin of the epic as is, say, the neoclassical ode.

Whatever its origins, the epic as it has come down to us is an absolutely completed and finished generic form, whose constitutive feature is the transferral of the world it describes to an absolute past of national beginnings and peak times. The absolute past is a specifically evaluating (hierarchical) category. In the epic world view, "beginning," "first," "founder," "ancestor," "that which occurred earlier" and so forth are not merely temporal categories but *valorized* temporal categories, and valorized to an extreme degree. This is as true for relationships among people as for relations among all the other items and phenomena of the epic world. In the past, everything is good: all the really good things (i.e., the "first" things) occur only in this past. The epic absolute past is the single source and beginning of everything good for all later times as well.

In ancient literature it is memory, and not knowledge, that serves as the source and power for the creative impulse. That is how it was, it is impossible to change it: the tradition of the past is sacred. There is as yet no consciousness of the possible relativity of any past.

The novel, by contrast, is determined by experience, knowledge and practice (the future). In the era of Hellenism a closer contact with the heroes of the Trojan epic cycle began to be felt; epic is already being transformed into novel. Epic material is transposed into novelistic material, into precisely that zone of contact that passes through the intermediate stages of familiarization and laughter. When the novel becomes the dominant genre, epistemology becomes the dominant discipline.

The epic past is called the "absolute past" for good reason: it is both monochronic and valorized (hierarchical); it lacks any relativity, that is, any gradual, purely temporal progressions that might connect it with the present. It is walled off absolutely from all subsequent times, and above all from those times in which the

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singer and his listeners are located. This boundary, consequently, is immanent in the form of the epic itself and is felt and heard in its every word.

To destroy this boundary is to destroy the form of the epic as a genre. But precisely because it is walled off from all subsequent times, the epic past is absolute and complete. It is as closed as a circle; inside it everything is finished, already over. There is no place in the epic world for any openendedness, indecision, indeterminacy. There are no loopholes in it through which we glimpse the future; it suffices unto itself, neither supposing any continuation nor requiring it. Temporal and valorized definitions are here fused into a single inseparable whole (as they are also fused in the semantic layers of ancient languages). Everything incorporated into this past was simultaneously incorporated into a condition of authentic essence and significance, but therefore also took on conclusiveness and finality, depriving itself, so to speak, of all rights and potential for a real continuation. Absolute conclusiveness and closedness is the outstanding feature of the temporally valorized epic past.

Let us move on to tradition. The epic past, walled off from all subsequent times by an impenetrable boundary, is preserved and revealed only in the form of national tradition. The epic relies entirely on this tradition. Important here is not the fact that tradition is the factual source for the epic—what matters rather is that a reliance on tradition is immanent in the very form of the epic, just as the absolute past is immanent in it. Epic discourse is a discourse handed down by tradition. By its very nature the epic world of the absolute past is inaccessible to personal experience and does not permit an individual, personal point of view or evaluation. One cannot glimpse it, grope for it, touch it; one cannot look at it from just any point of view; it is impossible to experience it, analyze it, take it apart, penetrate into its core. It is given solely as tradition, sacred and sacrosanct, evaluated in the same way by all and demanding a pious attitude toward itself. Let us repeat: the important thing is not the factual sources of the epic, not the content of its historical events, nor the declarations of its authors—the important thing is this formal constitutive characteristic of the epic as a genre (to be more precise, the formal-substantive characteristic): its reliance on impersonal and sacrosanct tradition, on a commonly held evaluation and point of view—which excludes any possibility of another approach—and which

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The absolute past as the subject for epic and sacrosanct tradition as its sole source also determine the nature of epic distance—that is, the third constitutive characteristic of the epic as a genre. As we have already pointed out, the epic past is locked into itself and walled off from all subsequent times by an impenetrable boundary, isolated (and this is most important) from that eternal present of children and descendents in which the epic singer and his listeners are located, which figures in as an event in their lives and becomes the epic performance. On the other hand, tradition isolates the world of the epic from personal experience, from any new insights, from any personal initiative in understanding and interpreting, from new points of view and evaluations. The epic world is an utterly finished thing, not only as an authentic event of the distant past but also on its own terms and by its own standards; it is impossible to change, to re-think, to re-evaluate anything in it. It is completed, conclusive and immutable, as a fact, an idea and a value. This defines absolute epic distance. One can only accept the epic world with reverence; it is impossible to really touch it, for it is beyond the realm of human activity, the realm in which everything humans touch is altered and re-thought. This distance exists not only in the epic material, that is, in the events and the heroes described, but also in the point of view and evaluation one assumes toward them; point of view and evaluation are fused with the subject into one inseparable whole. Epic language is not separable from its subject, for an absolute fusion of subject matter and spatial-temporal aspects with valorized (hierarchical) ones is characteristic of semantics in the epic. This absolute fusion and the consequent unfreedom of the subject was first overcome only with the arrival on the scene of an active polyglossia and interillumination of languages (and then the epic became a semiconventional, semimoribund genre). Thanks to this epic distance, which excludes any possibility of activity and change, the epic world achieves a radical degree of completedness not only in its content but in its meaning and its values as well. The epic world is constructed in the zone of an absolute distanced image, beyond the sphere of possible contact with the developing, incomplete and therefore re-thinking and re-evaluating present.

The three characteristics of the epic posited by us above are, to a greater or lesser extent, also fundamental to the other high genres of classical antiquity and the Middle Ages. At the heart of all these already completed high genres lie the same evaluation of time, the same role for tradition, and a similar hierarchical distance. Contemporary reality as such does not figure in as an available object of representation in any of these high genres. Contemporary reality may enter into the high genres only in its hierarchically highest levels, already distanced in its relationship to reality itself. But the events, victors and heroes of "high" contemporary reality are, as it were, appropriated by the past as they enter into these high genres (for example, Pindar's odes or the works of Simonides); they are woven by various intermediate links and connective tissue into the unified fabric of the heroic past and tradition. These events and heroes receive their value and grandeur precisely through this association with the past, the source of all authentic reality and value. They withdraw themselves, so to speak, from the present day with all its inconclusiveness, its indecision, its openness, its potential for re-thinking and re-evaluating. They are raised to the valorized plane of the past, and assume there a finished quality. We must not forget that "absolute past" is not to be confused with time in our exact and limited sense of the word; it is rather a temporally valorized hierarchical category.

It is impossible to achieve greatness in one's own time. Greatness always makes itself known only to descendents, for whom such a quality is always located in the past (it turns into a distanced image); it has become an object of memory and not a living object that one can see and touch. In the genre of the "memorial," the poet constructs his image in the future and distanced plane of his descendents (cf. the inscriptions of oriental despots, and of Augustus). In the world of memory, a phenomenon exists in its own peculiar context, with its own special rules, subject to conditions quite different from those we meet in the world we see with our own eyes, the world of practice and familiar contact. The epic past is a special form for perceiving people and events in art. In general the act of artistic perception and representation is almost completely obscured by this form. Artistic representation here is representation *sub specie aeternitatis*. One may, and in fact one must, memorialize with artistic language only that which is worthy of being remembered, that which should be pre-

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served in the memory of descendents; an image is created for descendents, and this image is projected on to their sublime and distant horizon. Contemporaneity for its own sake (that is to say, a contemporaneity that makes no claim on future memory) is molded in clay; contemporaneity for the future (for descendents) is molded in marble or bronze.

The interrelationship of times is important here. The valorized emphasis is not on the future and does not serve the future, no favors are being done it (such favors face an eternity outside time); what is served here is the future memory of a past, a broadening of the world of the absolute past, an enriching of it with new images (at the expense of contemporaneity)—a world that is always opposed in principle to any *merely transitory* past.

In the already completed high genres, tradition also retains its significance—although under conditions of open and personal creativity, its role becomes more conventionalized than in the epic.

In general, the world of high literature in the classical era was a world projected into the past, on to the distanced plane of memory, but not into a real, relative past tied to the present by uninterrupted temporal transitions; it was projected rather into a valorized past of beginnings and peak times. This past is distanced, finished and closed like a circle. This does not mean, of course, that there is no movement within it. On the contrary, the relative temporal categories within it are richly and subtly worked out (nuances of "earlier," "later," sequences of moments, speeds, durations, etc.); there is evidence of a high level of artistic technique in matters of time. But within this time, completed and locked into a circle, all points are equidistant from the real, dynamic time of the present; insofar as this time is whole, it is not localized in an actual historical sequence; it is not relative to the present or to the future; it contains within itself, as it were, the entire fullness of time. As a consequence all high genres of the classical era, that is, its entire high literature, are structured in the zone of the distanced image, a zone outside any possible contact with the present in all its openedness.

As we have said, contemporaneity as such (that is, one that preserves its own living contemporary profile) cannot become an object of representation for the high genres. Contemporaneity was a quality of a "lower" order in comparison with the epic past. Least of all could it serve as the starting point for artistic ideation or

evaluation. The focus for such an idea of evaluation could only be found in the absolute past. The present is something transitory, it is flow, it is an eternal continuation without beginning or end; it is denied an authentic conclusiveness and consequently lacks an essence as well. The future as well is perceived either as an essentially indifferent continuation of the present, or as an end, a final destruction, a catastrophe. The temporally valorized categories of absolute beginning and absolute end are extremely significant in our sense of time and in the ideologies of past times. The beginning is idealized, the end is darkened (catastrophe, "the twilight of the gods"). This sense of time and the hierarchy of times described by us here permeate all the high genres of antiquity and the Middle Ages. They permeated so deeply into the basic foundation of these genres that they continue to live in them in subsequent eras—up to the nineteenth century, and even further.

This idealization of the past in high genres has something of an official air. All external expressions of the dominant force and truth (the expression of everything conclusive) were formulated in the valorized-hierarchical category of the past, in a distanced and distant image (everything from gesture and clothing to literary style, for all are symbols of authority). The novel, however, is associated with the eternally living element of unofficial language and unofficial thought (holiday forms, familiar speech, profanation).

The dead are loved in a different way. They are removed from the sphere of contact, one can and indeed must speak of them in a different style. Language about the dead is stylistically quite distinct from language about the living.

In the high genres all authority and privilege, all lofty significance and grandeur, abandon the zone of familiar contact for the distanced plane (clothing, etiquette, the style of a hero's speech and the style of speech about him). It is in this orientation toward completeness that the classicism of all non-novel genres is expressed.

Contemporaneity, flowing and transitory, "low," present—this "life without beginning or end" was a subject of representation only in the low genres. Most importantly, it was the basic subject matter in that broadest and richest of realms, the common people's creative culture of laughter. In the aforementioned work I tried to indicate the enormous influence exercised by this realm—in the ancient world as well as the Middle Ages—on the birth and formation of novelistic language. It was equally significant for all other historical factors in the novelistic genre, during

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h. Sophron (fl. 5th c. B.C.) wrote in a variety of forms, but his most famous work is a mime written in rhythmic life.

i. Ion of Chios (4th c. B.C.) wrote a tragedy in the Great Dionysia. His memoirs have come down to us in quotes, including the story of his home on Chios. He presented so vividly the life of distinguished Athens.

j. Critias (460–404 B.C.) was a philosopher and poet. He wrote mostly elegiac poetry, but some of his fragments have come down to us (vol. 11 of the 1910 edition of the *Fragmenta Graecae Antiquae*).

k. Lucilius Gavius (1st c. B.C.) was a philosopher, author of several dialogues, almost autobiographical.

l. Persius, Flaccus (1st c. A.D.) was a philosopher.

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their emergence and early formation. Precisely here, in popular laughter, the authentic folkloric roots of the novel are to be sought. The present, contemporary life as such, "I myself" and "my contemporaries," "my time"—all these concepts were originally the objects of ambivalent laughter, at the same time cheerful and annihilating. It is precisely here that a fundamentally new attitude toward language and toward the word is generated. Alongside direct representation—laughing at living reality—there flourish parody and travesty of all high genres and of all lofty models embodied in national myth. The "absolute past" of gods, demigods and heroes is here, in parodies and even more so in travesties, "contemporized": it is brought low, represented on a plane equal with contemporary life, in an everyday environment, in the low language of contemporaneity.

In classical times this elemental popular laughter gave rise directly to a broad and varied field of ancient literature, one that the ancients themselves expressively labeled *spoudogeloion*, that is, the field of "serio-comical." The weakly plotted mimes of Sophron,^b all the bucolic poems, the fable, early memoir literature (the *Epidēmiāi* of Ion of Chios,^c the *Homilae* of Critias),^d pamphlets all belong to this field; here the ancients themselves included the "Socratic dialogues" (as a genre), here belong Roman satire (Lucilius,^e Horace, Persius,^f Juvenal), the extensive literature of the

b. Sophron (fl. 5th century B.C.) was probably the first writer to give literary form to the mime. He was greatly admired by Plato. The mimes were written in rhythmic prose and took as their subject matter events of everyday life.

c. Ion of Chios (490–421 B.C.), a Greek poet who, when he won first for tragedy in the Great Dionysia, made a present of Chian wine to every Athenian. His memoirs have not come down to us, but Athenaeus (q.v.) gives long quotes, including the description of an evening Sophocles spent with him in his home on Chios. It has been said no other Greek before Socrates has been presented so vividly. The title of these *Epidēmiāi* probably refers to the visits of distinguished Athenians who came to see Ion on Chios.

d. Critias (460–403 B.C.), one of the Thirty Tyrants, also active as a writer. He wrote mostly elegies and tragedies. Fragments of *Homilai* ("discussions") have come down to us; Galen is cited by the editors of the Pauly-Wissowa (Vol. II of the 1910 ed., p. 1910) as calling the two books of the original *Homilai* "aimless discussions" (*zwanglose Unterhaltungen*).

e. Lucilius Gaius (?–102 B.C.), member of one of the greatest Roman families, author of several important satires, chiefly remarkable for the personal, almost autobiographical tone he introduces into them.

f. Persius, Flaccus Aulus (A.D. 34–62), satirist heavily influenced by Stoic philosophy.

"Symposia" and finally Menippean satire (as a genre) and dialogues of the Lucianic type. All these genres, permeated with the "serio-comical," are authentic predecessors of the novel. In addition, several of these genres are thoroughly novelistic, containing in embryo and sometimes in developed form the basic elements characteristic of the most important later prototypes of the European novel. The authentic spirit of the novel as a developing genre is present in them to an incomparably greater degree than in the so-called Greek novels (the sole ancient genre bearing the name). The Greek novel [Greek romance] had a powerful influence on the European novel precisely in the Baroque era, that is, precisely at that time when novel theory was beginning to be reworked [Abbé Huet]^m and when the very term "novel" was being tightened and made more precise. Out of all novelistic works of antiquity, the term "novel" was, therefore, attached to the Greek novel alone. Nevertheless, the serio-comical genres mentioned above anticipate the more essential historical aspects in the development of the novel in modern times, even though they lack that sturdy skeleton of plot and composition that we have grown accustomed to demand from the novel as a genre. This applies in particular to the Socratic dialogues, which may be called—to rephrase Friedrich Schlegel—"the novels of their time," and also to Menippean satire (including the *Satyricon* of Petronius), whose role in the history of the novel is immense and as yet inadequately appreciated by scholarship. These serio-comical genres were the first authentic and essential step in the evolution of the novel as the genre of becoming.

Precisely what is this novelistic spirit in these serio-comical genres, and on what basis do we claim them as the first step in the development of the novel? It is this: contemporary reality serves as their subject, and—even more important—it is the starting point for understanding, evaluating and formulating such genres. For the first time, the subject of serious literary representation (although, it is true, at the same time comical) is portrayed without any distance, on the level of contemporary reality, in a

m. Abbé Huët (1630–1721), bishop of Avranches, learned scholar who wrote numerous works on a wide variety of subjects. His *Traité de l'origine des romans* (1670) was first published as an introduction to Mme. de La Fayette's *Zaïde*, a novel written while its author was still influenced by ideas of the *précieuse* society.

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zone of direct and even crude contact. Even where the past or myth serves as the subject of representation in these genres there is no epic distance, and contemporary reality provides the point of view. Of special significance in this process of demolishing distance is the comical origin of these genres: they derive from folklore (popular laughter). It is precisely laughter that destroys the epic, and in general destroys any hierarchical (distancing and valorized) distance. As a distanced image a subject cannot be comical; to be made comical, it must be brought close. Everything that makes us laugh is close at hand, all comical creativity works in a zone of maximal proximity. Laughter has the remarkable power of making an object come up close, of drawing it into a zone of crude contact where one can finger it familiarly on all sides, turn it upside down, inside out, peer at it from above and below, break open its external shell, look into its center, doubt it, take it apart, dismember it, lay it bare and expose it, examine it freely and experiment with it. Laughter demolishes fear and piety before an object, before a world, making of it an object of familiar contact and thus clearing the ground for an absolutely free investigation of it. Laughter is a vital factor in laying down that prerequisite for fearlessness without which it would be impossible to approach the world realistically. As it draws an object to itself and makes it familiar, laughter delivers the object into the fearless hands of investigative experiment—both scientific and artistic—and into the hands of free experimental fantasy. Familiarization of the world through laughter and popular speech is an extremely important and indispensable step in making possible free, scientifically knowable and artistically realistic creativity in European civilization.

The plane of comic (humorous) representation is a specific plane in its spatial as well as its temporal aspect. Here the role of memory is minimal; in the comic world there is nothing for memory and tradition to do. One ridicules in order to forget. This is the zone of maximally familiar and crude contact; laughter means abuse, and abuse could lead to blows. Basically this is uncrowning, the removal of an object from the distanced plane, the destruction of epic distance, an assault on and destruction of the distanced plane in general. In this plane (the plane of laughter) one disrespectfully walk around whole objects; therefore, the back and rear portion of an object (and also its innards, not normally possible for viewing) assume a special importance. The object is

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Characteristic, even canonic, for the genre is the spoken dialogue framed by a dialogized story. Characteristic also is the proximity of its language to popular spoken language, as near as was possible for classical Greece; these dialogues in fact opened the path to Attic prose, and are connected with the essential renovation of the literary-prose language—and with a shift in languages in general. Characteristically this genre is at the same time a rather complex system of styles and dialects, which enter it as more-or-less parodied models of languages and styles (we have before us therefore a multi-styled genre, as is the authentic novel). Moreover the figure of Socrates himself is characteristic for the genre—he is an outstanding example of heroization in novelistic prose (so very different from epic heroization). It is, finally, profoundly characteristic—and for us this is of utmost importance—that we have laughter, Socratic irony, the entire system of Socratic degradations combined with a serious, lofty and for the first time truly free investigation of the world, of man and of human thought. Socratic laughter (reduced to irony) and Socratic degradations (an entire system of metaphors and comparisons borrowed from the lower spheres of life—from tradespeople, from everyday life, etc.) bring the world closer and familiarize it in order to investigate it fearlessly and freely. As our starting point we have contemporary reality, the living people who occupy it together with their opinions. From this vantage point, from this contemporary reality with its diversity of speech and voice, there comes about a new orientation in the world and in time (including the "absolute past" of tradition) through personal experience and investigation. It is canonical for the genre that even an accidental and insignificant pretext can ordinarily and deliberately

A good example of what Bakhtin has in mind here is provided by the *Legend of the Oberiuty*, Daniil Kharmis (1905–1942), "Anecdotes about Pushkin." They are difficult to appreciate in translation, but are all similar to the following: "Pushkin loved to throw rocks. As soon as he saw a rock, he would throw it. Sometimes he became so excited that he stood, all red in the face, waving his arms, throwing rocks, simply something awful."—from *Russia's Literature of the Absurd*, tr. and ed. by George Gibian (New York, 1974),

serve as the external and most immediate starting point for a dialogue; the "todayness" of the day was emphasized in all its randomness (accidental encounters, etc.).

In other serio-comical genres we will come upon other aspects, nuances and consequences of this radical shift of the temporally valorized center of artistic orientation, and of the revolution in the hierarchy of times. A few words now about Menippean satire. Its folklore roots are identical with those of the Socratic dialogue, to which it is genetically related (it is usually considered a product of the disintegration of the Socratic dialogue). The familiarizing role of laughter is here considerably more powerful, sharper and coarser. The liberty to crudely degrade, to turn inside out the lofty aspects of the world and world views, might sometimes seem shocking. But to this exclusive and comic familiarity must be added an intense spirit of inquiry and a utopian fantasy. Nothing is left of the distant epic image of the absolute past; the entire world and everything sacred in it is offered to us without any distancing at all, in a zone of crude contact, where we can grab at everything with our own hands. In this world, utterly familiarized, the subject moves with extreme and fantastic freedom; from heaven to earth, from earth to the nether world, from the present into the past, from the past into the future. In the comic afterlife visions of Menippean satire, the heroes of the absolute past, real-life figures from various eras of the historic past (for example, Alexander of Macedonia) and living contemporaries jostle one another in a most familiar way, to talk, even to brawl; this confrontation of times from the point of view of the present is extremely characteristic. In Menippean satire the unfettered and fantastic plots and situations all serve one goal—to put to the test and to expose ideas and ideologues. These are experimental and provocative plots.

The appearance of the utopian element in this genre is symptomatic, although it is, to be sure, timid and shallow. The inconclusive present begins to feel closer to the future than to the past, and begins to seek some valorized support in the future, even if this future is as yet pictured merely as a return to the Golden Age of Saturn (in Roman times, Menippean satire was closely associated with the Saturnalia and with the freedom of Saturnalian laughter).

Menippean satire is dialogic, full of parodies and travesties, multi-styled, and does not fear elements of bilingualism (in Var-

and especially in the *Satyricon* of Petronius). It expands into a highly socially varied area. For almost all the characters characterized by a memoirist approach to orientation, which presents the author and his heroes described by various, possible acquisitions (we again recall the author, in all his the field of his representation, is absolutely inaccessible).

The field available to the genre and organized in different means. But the

The novel comes to a conclusive present; the novelist is disappointed. He may turn to a theatrical pose, he may make allusions to them, his heroes, he may openly speak forth. This is not merely within his own field that the underlying theatrical image) appears in the world. Both find the valorized measure now lies on the same hero, and may enter

q. Marcus Terentius Varro, pupil of Stilo—the first through research on the numerous works on the lost work *Statuarum* in Menippean style satirizing the

ro⁹ and especially in Boethius' *The Consolation of Philosophy*). The *Satyricon* of Petronius is good proof that Menippean satire can expand into a huge picture, offering a realistic reflection of the socially varied and heteroglot world of contemporary life.

For almost all the above-mentioned genres, the "serio-comical" is characterized by a deliberate and explicit autobiographical and memoirist approach. The shift of the temporal center of artistic orientation, which placed on the same temporally valorized plane the author and his readers (on the one hand) and the world and heroes described by him (on the other), making them contemporaries, possible acquaintances, friends, familiarizing their relations (we again recall the novelistic opening of *Onegin*), permits the author, in all his various masks and faces, to move freely onto the field of his represented world, a field that in the epic had been absolutely inaccessible and closed.

The field available for representing the world changes from genre to genre and from era to era as literature develops. It is organized in different ways and limited in space and time by different means. But this field is always specific.

The novel comes into contact with the spontaneity of the inconclusive present; this is what keeps the genre from congealing. The novelist is drawn toward everything that is not yet completed. He may turn up on the field of representation in any authorial pose, he may depict real moments in his own life or make allusions to them, he may interfere in the conversations of his heroes, he may openly polemicize with his literary enemies and so forth. This is not merely a matter of the author's image appearing within his own field of representation—important here is the fact that the underlying, original formal author (the author of the authorial image) appears in a new relationship with the represented world. Both find themselves now subject to the same temporally valorized measurements, for the "depicting" authorial language now lies on the same plane as the "depicted" language of the hero, and may enter into dialogic relations and hybrid combina-

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Marcus Terentius Varro (fl. 1st century B.C.), politician and scholar, a friend of Cicero—Stilo—the first Roman philologist—who had made himself known through research on the genuineness of Plautus' comedies. Varro wrote numerous works on the Latin language, but Bakhtin refers to him as author of the work *Statuarum Menippearum libri*, humorous essays in the Menippean style satirizing the luxury of his age.

tions with it (indeed, it cannot help but enter into such relations).

It is precisely this new situation, that of the original formally present author in a zone of contact with the world he is depicting, that makes possible at all the appearance of the authorial image on the field of representation. This new positioning of the author must be considered one of the most important results of surmounting epic (hierarchical) distance. The enormous formal, compositional and stylistic implications this new positioning of the author has for the specific evolution of the novel as a genre require no further explanation.

Let us consider in this connection Gogol's *Dead Souls*. The form of his epic Gogol modeled on the *Divine Comedy*; it was in this form that he imagined the greatness of his work lay. But what in fact emerged was Menippean satire. Once having entered the zone of familiar contact he was unable to leave it, and he was unable to transfer into this sphere distanced and positive images. The distanced images of the epic and the images of familiar contact can never meet on the same field of representation; pathos broke into the world of Menippean satire like a foreign body, affirmative pathos became abstract and simply fell out of the work. Gogol could not manage the move from Hell to Purgatory and then to Paradise with the same people and in the same work; no continuous transition was possible. The tragedy of Gogol is to a very real extent the tragedy of a genre (taking genre not in its formalistic sense, but as a zone and a field of valorized perception, as a mode for representing the world). Gogol lost Russia, that is, he lost his blueprint for perceiving and representing her; he got muddled somewhere between memory and familiar contact—to put it bluntly, he could not find the proper focus on his binoculars.

But as a new starting point for artistic orientation, contemporaneity by no means excludes the depiction of a heroic past, and without any travesty. As an example we have Xenophon's *Cyropaedia*¹ (not, of course, a serio-comical work, but one that does lie on the borderline). Its subject is the past, its hero is Cyrus the Great. But the starting point of representation is Xenophon's

1. Xenophon (428–354 B.C.), *Cyropaedia*, a text that haunts the history of thinking about novels from Julian the Apostate's citation of it as a model to be avoided (cf. Perry, *Ancient Romances*, p. 78) to Boileau, who, in his *Dialogue sur les héros des romans* (1664) attacks Mme. de Scudéry's monstrous *Artamène, ou le grand Cyrus* (1649–1653).

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own contemporary reality; it is that which provides the point of view and value orientation. It is characteristic that the heroic past chosen here is not the national past but a foreign and barbaric past. The world has already opened up; one's own monolithic and closed world (the world of the epic) has been replaced by the great world of one's own plus "the others." This choice of an alien heroism was the result of a heightened interest, characteristic for Xenophon's time, in the Orient—in Eastern culture, ideology and sociopolitical forms. A light was expected from the East. Cultural interanimation, interaction of ideologies and languages had already begun. Also characteristic was the idealization of the oriental despot, and here one senses Xenophon's own contemporary reality with its idea (shared widely by his contemporaries) of renovating Greek political forms in a spirit close to oriental autocracy. Such an idealization of oriental autocracy is of course deeply alien to the entire spirit of Hellenic national tradition. Characteristic and even extremely typical for the time was the concept of an individual's upbringing: this was to become one of the most important and productive themes for the new European novel. Also characteristic is the intentional and completely explicit transfer onto the image of Cyrus the Great of the features of Cyrus the Younger, a contemporary of Xenophon in whose campaign Xenophon participated. And one also senses here the personality of another contemporary and close friend of Xenophon, Socrates; thus are elements of the memoir introduced into the work. As a final characteristic we might mention the form of the work itself—dialogues framed by a story. In such a way, contemporary reality and its concerns become the starting point and center of an artistic ideological thinking and evaluating of the past. This past is given us without distancing, on the level of contemporary reality, although not (it is true) in its low but in its high forms, on the level of its most advanced concerns. Let us comment upon the somewhat utopian overtones in this work that reflect a slight (and uncertain) shift of its contemporaneity from the past toward the future. *Cyropaedia* is a novel, in the most basic sense of the word.

The depiction of a past in the novel in no sense presumes the modernization of this past (in Xenophon there are, of course, traces of such modernization). On the contrary, only in the novel have we the possibility of an authentically objective portrayal of the past as the past. Contemporary reality with its new experi-

ences is retained as a way of seeing, it has the depth, sharpness, breadth and vividness peculiar to that way of seeing, but should not in any way penetrate into the already portrayed content of the past, as a force modernizing and distorting the uniqueness of that past. After all, every great and serious contemporaneity requires an authentic profile of the past, an authentic other language from another time.

The revolution in the hierarchy of times outlined above makes possible a radical revolution in the structuring of the artistic image as well. The present, in its so-called "wholeness" (although it is, of course, never whole) is in essence and in principle inconclusive; by its very nature it demands continuation, it moves into the future, and the more actively and consciously it moves into the future the more tangible and indispensable its inconclusiveness becomes. Therefore, when the present becomes the center of human orientation in time and in the world, time and world lose their completedness as a whole as well as in each of their parts. The temporal model of the world changes radically: it becomes a world where there is no first word (no ideal word), and the final word has not yet been spoken. For the first time in artistic-ideological consciousness, time and the world become historical: they unfold, albeit at first still unclearly and confusedly, as becoming, as an uninterrupted movement into a real future, as a unified, all-embracing and unconcluded process. Every event, every phenomenon, every thing, every object of artistic representation loses its completedness, its hopelessly finished quality and its immutability that had been so essential to it in the world of the epic "absolute past," walled off by an unapproachable boundary from the continuing and unfinished present. Through contact with the present, an object is attracted to the incomplete process of a world-in-the-making, and is stamped with the seal of inconclusiveness. No matter how distant this object is from us in time, it is connected to our incomplete, present-day, continuing temporal transitions, it develops a relationship with our unpreparedness, with our present. But meanwhile our present has been moving into an inconclusive future. And in this inconclusive context all the semantic stability of the object is lost; its sense and significance are renewed and grow as the context continues to unfold. This leads to radical changes in the structuring of the artistic image. The image acquires a specific actual existence. It acquires a relationship—in one form or another, to one degree or another—to the ongoing event of current life in which we, the author and

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readers, are intimately participating. This creates the radically new zone for structuring images in the novel, a zone of maximally close contact between the represented object and contemporary reality in all its inconclusiveness—and consequently a similarly close contact between the object and the future.

Prophecy is characteristic for the epic, prediction for the novel.

Epic prophecy is realized wholly within the limits of the absolute past (if not in a given epic, then within the limits of the tradition it encompasses); it does not touch the reader and his real time. The novel might wish to prophesize facts, to predict and influence the real future, the future of the author and his readers. But the novel has a new and quite specific problemativeness: characteristic for it is an eternal re-thinking and re-evaluating. That center of activity that ponders and justifies the past is transferred to the future.

This "modernity" of the novel is indestructible, and verges on an unjust evaluation of times. Let us recall the re-evaluation of the past that occurred during the Renaissance ("the darkness of the Gothic Age"), in the eighteenth century (Voltaire) and that is inherent in positivism (the exposure of myth, legend, heroization, a maximum departure from memory and a maximum reduction of the concept of "knowledge," even to the point of empiricism, a mechanical faith in "progress" as the highest criterion).

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Let us now touch upon several artistic features related to the above. The absence of internal conclusiveness and exhaustiveness creates a sharp increase in demands for an external and formal completedness and exhaustiveness, especially in regard to plot-line. The problems of a beginning, an end, and "fullness" of plot are posed anew. The epic is indifferent to formal beginnings and can remain incomplete (that is, where it concludes is almost arbitrary). The absolute past is closed and completed in the whole as well as in any of its parts. It is, therefore, possible to take any part and offer it as the whole. One cannot embrace, in a single epic, the entire world of the absolute past (although it is unified from a plot standpoint)—to do so would mean a retelling of the whole of national tradition, and it is sufficiently difficult to embrace even a significant portion of it. But this is no great loss, because the structure of the whole is repeated in each part, and each part is complete and circular like the whole. One may begin the story at almost any moment, and finish at almost any moment.

The *Iliad* is a random excerpt from the Trojan cycle. Its ending (the burial of Hector) could not possibly be the ending from a novelistic point of view. But epic completeness suffers not the slightest as a result. The specific "impulse to end"—How does the war end? Who wins? What will happen to Achilles? and so forth—is absolutely excluded from the epic by both internal and external motifs (the plot-line of the tradition was already known to everyone). This specific "impulse to continue" (what will happen next?) and the "impulse to end" (how will it end?) are characteristic only for the novel and are possible only in a zone where there is proximity and contact; in a zone of distanced images they are impossible.

In distanced images we have the whole event, and plot interest (that is, the condition of not knowing) is impossible. The novel, however, speculates in what is unknown. The novel devises various forms and methods for employing the surplus knowledge that the author has, that which the hero does not know or does not see. It is possible to utilize this authorial surplus in an external way, manipulating the narrative, or it can be used to complete the image of an individual (an externalization that is peculiarly novelistic). But there is another possibility in this surplus that creates further problems.

The distinctive features of the novelistic zone emerge in various ways in various novels. A novel need not raise any problematic questions at all. Take, for example, the adventuristic "boulevard" romance. There is no philosophy in it, no social or political problems, no psychology. Consequently none of these spheres provides any contact with the inconclusive events of our own contemporary reality. The absence of distance and of a zone of contact are utilized here in a different way: in place of our tedious lives we are offered a surrogate, true, but it is the surrogate of a fascinating and brilliant life. We can experience these adventures, identify with these heroes; such novels almost become a substitute for our own lives. Nothing of the sort is possible in the epic and other distanced genres. And here we encounter the specific danger inherent in the novelistic zone of contact: we ourselves may actually enter the novel (whereas we could never enter an epic or other distanced genre). It follows that we might substitute for our own life an obsessive reading of novels, or dreams based on novelistic models (the hero of Dostoevsky's *White Nights*); Bovaryism becomes possible, the real-life appearance of fashionable heroes taken from novels—disillusioned,

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demonic and so forth. Other genres are capable of generating such phenomena only after having been novelized, that is, after having been transposed to the novelistic zone of contact (for example, the verse narratives of Byron).

Yet another phenomenon in the history of the novel—and one of extreme importance—is connected with this new temporal orientation and with this zone of contact: it is the novel's special relationship with extraliterary genres, with the genres of everyday life and with ideological genres. In its earliest stages, the novel and its preparatory genres had relied upon various extraliterary forms of personal and social reality, and especially those of rhetoric (there is a theory that actually traces the novel back to rhetoric). And in later stages of its development the novel makes wide and substantial use of letters, diaries, confessions, the forms and methods of rhetoric associated with recently established courts and so forth. Since it is constructed in a zone of contact with the incomplete events of a particular present, the novel often crosses the boundary of what we strictly call fictional literature—making use first of a moral confession, then of a philosophical tract, then of manifestos that are openly political, then degenerating into the raw spirituality of a confession, a "cry of the soul" that has not yet found its formal contours. These phenomena are precisely what characterize the novel as a developing genre. After all, the boundaries between fiction and nonfiction, between literature and nonliterature and so forth are not laid up in heaven. Every specific situation is historical. And the growth of literature is not merely development and change within the fixed boundaries of any given definition; the boundaries themselves are constantly changing. The shift of boundaries between various strata (including literature) in a culture is an extremely slow and complex process. Isolated border violations of any given specific definition (such as those mentioned above) are only symptomatic of this larger process, which occurs at a great depth. These symptoms of change appear considerably more often in the novel than they do elsewhere, as the novel is a developing genre; they are sharper and more significant because the novel is in the vanguard of change. The novel may thus serve as a document for gauging the lofty and still distant destinies of literature's future unfolding.

But the changes that take place in temporal orientation, and in the zone where images are constructed, appear nowhere more profoundly and inevitably than in the process of re-structuring

the image of the individual in literature. Within the bounds of the present article, however, I can touch on this great and complex question only briefly and superficially.

The individual in the high distanced genres is an individual of the absolute past and of the distanced image. As such he is a fully finished and completed being. This has been accomplished on a lofty heroic level, but what is complete is also something hopelessly ready-made; he is all there, from beginning to end he coincides with himself, he is absolutely equal to himself. He is, furthermore, completely externalized. There is not the slightest gap between his authentic essence and its external manifestation. All his potential, all his possibilities are realized utterly in his external social position, in the whole of his fate and even in his external appearance; outside of this predetermined fate and predetermined position there is nothing. He has already become everything that he could become, and he could become only that which he has already become. He is entirely externalized in the most elementary, almost literal sense: everything in him is exposed and loudly expressed: his internal world and all his external characteristics, his appearance and his actions all lie on a single plane. His view of himself coincides completely with others' views of him—the view of his society (his community), the epic singer and the audience also coincide.

In this context, mention should be made of the problem of self-praise that comes up in Plutarch and others. "I myself," in an environment that is distanced, exists not *in* itself or *for* itself but for the self's descendents, for the memory such a self anticipates in its descendents. I acknowledge myself, an image that is my own, but on this distanced plane of memory such a consciousness of self is alienated from "me." I see myself through the eyes of another. This coincidence of forms—the view I have of myself as self, and the view I have of myself as other—bears an integral, and therefore naive, character—there is no gap between the two. We have as yet no confession, no exposing of self. The one doing the depicting coincides with the one being depicted.³

3. Epic disintegrates when the search begins for a new point of view on one's own self (without any admixture of others' points of view). The expressive novelistic gesture arises as a departure from a norm, but the "error" of this norm immediately reveals how important it is for subjectivity. First there is a departure from a norm, and then the problematicalness of the norm itself.

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He sees and knows in himself only the things that others see and know in him. Everything that another person—the author—is able to say about him he can say about himself, and vice versa. There is nothing to seek for in him, nothing to guess at, he can neither be exposed nor provoked; he is all of a piece, he has no shell, there is no nucleus within. Furthermore, the epic hero lacks any ideological initiative (heroes and author alike lack it). The epic world knows only a single and unified world view, obligatory and indubitably true for heroes as well as for authors and audiences. Neither world view nor language can, therefore, function as factors for limiting and determining human images, or their individualization. In the epic, characters are bounded, preformed, individualized by their various situations and destinies, but not by varying "truths." Not even the gods are separated from men by a special truth: they have the same language, they all share the same world view, the same fate, the same extravagant externalization.

These traits of the epic character, shared by and large with other highly distanced genres, are responsible for the exclusive beauty, wholeness, crystal clarity and artistic completeness of this image of man. But at the same time such traits account for his limitations and his obvious woodenness under conditions obtaining in a later period of human existence.

The destruction of epic distance and the transferral of the image of an individual from the distanced plane to the zone of contact with the inconclusive events of the present [and consequently of the future] result in a radical re-structuring of the image of the individual in the novel—and consequently in all literature. Folklore and popular-comic sources for the novel played a huge role in this process. Its first and essential step was the comic familiarization of the image of man. Laughter destroyed epic distance; it began to investigate man freely and familiarly, to turn him inside out, expose the disparity between his surface and his center, between his potential and his reality. A dynamic authenticity was introduced into the image of man, dynamics of inconsistency and tension between various factors of this image; man ceased to coincide with himself, and consequently men ceased to be exhausted entirely by the plots that contain them. Of these inconsistencies and tensions laughter plays up, first of all, the comic sides (but not only the comic sides); in the serio-comical genres of antiquity, images of a new order emerge—for example,

the imposing, newly and more complexly integrated heroic image of Socrates.

Characteristic here is the artistic structuring of an image out of durable popular masks—masks that had great influence on the novelistic image of man during the most important stages of the novel's development (the serio-comical genres of antiquity, Rabelais, Cervantes). Outside his destiny, the epic and tragic hero is nothing; he is, therefore, a function of the plot fate assigns him; he cannot become the hero of another destiny or another plot. On the contrary, popular masks—Maccus, Pulcinello, Harlequin—are able to assume any destiny and can figure into any situation (they often do so within the limits of a single play), but they cannot exhaust their possibilities by those situations alone; they always retain, in any situation and in any destiny, a happy surplus of their own, their own rudimentary but inexhaustible human face. Therefore these masks can function and speak independent of the plot; but, moreover, it is precisely in these excursions outside the plot proper—in the Atellan *trices*,^s in the *lazzi*^t of Italian comedy—that they best of all reveal a face of their own. Neither an epic nor a tragic hero could ever step out in his own character during a pause in the plot or during an intermission: he has no face for it, no gesture, no language. In this is his strength and his limitation. The epic and tragic hero is the hero who, by his very nature, must perish. Popular masks, on the contrary, never perish: not a single plot in Atellan, Italian or Italianized French comedies provides for, or could ever provide for, the actual death of a Maccus, a Pulcinello or a Harlequin. However, one frequently witnesses their fictive comic deaths (with subsequent resurrections). These are heroes of free improvisation and not heroes of tradition, heroes of a life process that is imperishable and forever renewing itself, forever contemporary—these are not heroes of an absolute past.

These masks and their structure (the noncoincidence with themselves, and with any given situation—the surplus, the inexhaustibility of their self and the like), have had, we repeat, an enormous influence on the development of the novelistic image

s. *Trices* are thought to have been interludes in the action of the Atellanæ during which the masks often stepped out of character.

t. *Lazzi* were what we might now call "routines" or "numbers" that were not part of the ongoing action of the plot.

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of man. This structure is preserved even in the novel, although in a more complex, deeply meaningful and serious (or serio-comical) form.

One of the basic internal themes of the novel is precisely the theme of the hero's inadequacy to his fate or his situation. The individual is either greater than his fate, or less than his condition as a man. He cannot become once and for all a clerk, a landowner, a merchant, a fiancé, a jealous lover, a father and so forth. If the hero of a novel actually becomes something of the sort—that is, if he completely coincides with his situation and his fate (as do generic, everyday heroes, the majority of secondary characters in a novel)—then the surplus inhering in the human condition is realized in the main protagonist. The way in which this surplus will actually be realized grows out of the author's orientation toward form and content, that is, the ways he sees and depicts individuals. It is precisely the zone of contact with an inconclusive present (and consequently with the future) that creates the necessity of this incongruity of a man with himself. There always remains in him unrealized potential and unrealized demands. The future exists, and this future ineluctably touches upon the individual, has its roots in him.

An individual cannot be completely incarnated into the flesh of existing sociohistorical categories. There is no mere form that would be able to incarnate once and forever all of his human possibilities and needs, no form in which he could exhaust himself down to the last word, like the tragic or epic hero; no form that he could fill to the very brim, and yet at the same time not splash over the brim. There always remains an unrealized surplus of humanness; there always remains a need for the future, and a place for this future must be found. All existing clothes are always too tight, and thus comical, on a man. But this surplus of un-fleshed-out humanness may be realized not only in the hero, but also in the author's point of view (as, for example, in Gogol). Reality as we have it in the novel is only one of many possible realities; it is not inevitable, not arbitrary, it bears within itself other possibilities.

The epic wholeness of an individual disintegrates in a novel in other ways as well. A crucial tension develops between the external and the internal man, and as a result the subjectivity of the individual becomes an object of experimentation and representation—and first of all on the humorous familiarizing plane. Coord-

dination breaks down between the various aspects: man for himself alone and man in the eyes of others. This disintegration of the integrity that an individual had possessed in epic (and in tragedy) combines in the novel with the necessary preparatory steps toward a new, complex wholeness on a higher level of human development.

Finally, in a novel the individual acquires the ideological and linguistic initiative necessary to change the nature of his own image (there is a new and higher type of individualization of the image). In the antique stage of novelistic development there appeared remarkable examples of such hero-ideologues—the image of Socrates, the image of a laughing Epicurus in the so-called “Hypocratic” novel, the deeply novelized image of Diogenes in the thoroughly dialogized literature of the cynics and in Menippean satire (where it closely approximates the image of the popular mask) and, finally, the image of Menippus in Lucian. As a rule, the hero of a novel is always more or less an ideologue.

What all this suggests is a somewhat abstract and crude schematization for re-structuring the image of an individual in the novel.

We will summarize with some conclusions.

The present, in its all openendedness, taken as a starting point and center for artistic and ideological orientation, is an enormous revolution in the creative consciousness of man. In the European world this reorientation and destruction of the old hierarchy of temporalities received its crucial generic expression on the boundary between classic antiquity and Hellenism, and in the new world during the late Middle Ages and Renaissance. The fundamental constituents of the novel as a genre were formed in these eras, although some of the separate elements making up the novel were present much earlier, and the novel's roots must ultimately be sought in folklore. In these eras all other major genres had already long since come to completion, they were already old and almost ossified genres. They were all permeated from top to bottom with a more ancient hierarchization of temporalities. The novel, from the very beginning, developed as a genre that had at its core a new way of conceptualizing time. The absolute past, tradition, hierarchical distance played no role in the formation of the novel as a genre (such spatiotemporal categories did play a role, though insignificant, in certain periods of the novel's development, when it was slightly influenced by the epic—for exam-

ple in the Baroque point when epic and man were object of artist a contemporarily very beginning; age of the absolute conclusive pre and free creation novelistic image into being since novel was completed genres; the future of a be merely one interrelating sentence. In the have a difference of the other genre tact with reality tortuous.

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ple in the Baroque novel). The novel took shape precisely at the point when epic distance was disintegrating, when both the world and man were assuming a degree of comic familiarity, when the object of artistic representation was being degraded to the level of a contemporary reality that was inconclusive and fluid. From the very beginning the novel was structured not in the distanced image of the absolute past but in the zone of direct contact with inconclusive present-day reality. At its core lay personal experience and free creative imagination. Thus a new, sober artistic-prose novelistic image and a new critical scientific perception came into being simultaneously. From the very beginning, then, the novel was made of different clay than the other already completed genres; it is a different breed, and with it and in it is born the future of all literature. Once it came into being, it could never be merely one genre among others, and it could not erect rules for interrelating with others in peaceful and harmonious co-existence. In the presence of the novel, all other genres somehow have a different resonance. A lengthy battle for the novelization of the other genres began, a battle to drag them into a zone of contact with reality. The course of this battle has been complex and tortuous.

The novelization of literature does not imply attaching to already completed genres a generic canon that is alien to them, not theirs. The novel, after all, has no canon of its own. It is, by its very nature, not canonic. It is plasticity itself. It is a genre that is ever questing, ever examining itself and subjecting its established forms to review. Such, indeed, is the only possibility open to a genre that structures itself in a zone of direct contact with developing reality. Therefore, the novelization of other genres does not imply their subjection to an alien generic canon; on the contrary, novelization implies their liberation from all that serves as a brake on their unique development, from all that would change them along with the novel into some sort of stylization of forms that have outlived themselves.

I have developed my various positions in this essay in a somewhat abstract way. There have been few illustrations, and even these were taken only from an ancient period in the novel's development. My choice was determined by the fact that the significance of that period has been greatly underestimated. When people talk about the ancient period of the novel they have traditionally had in mind the "Greek novel" alone. The ancient period

of the novel is enormously significant for a proper understanding of the genre. But in ancient times the novel could not really develop all its potential; this potential came to light only in the modern world. We indicated that in several works of antiquity, the inconclusive present begins to sense a greater proximity to the future than to the past. The absence of a temporal perspective in ancient society assured that this process of reorientation toward a real future could not complete itself; after all, there was no real concept of a future. Such a reorientation occurred for the first time during the Renaissance. In that era, the present (that is, a reality that was contemporaneous) for the first time began to sense itself not only as an incomplete continuation of the past, but as something like a new and heroic beginning. To reinterpret reality on the level of the contemporary present now meant not only to degrade, but to raise reality into a new and heroic sphere. It was in the Renaissance that the present first began to feel with great clarity and awareness an incomparably closer proximity and kinship to the future than to the past.

The process of the novel's development has not yet come to an end. It is currently entering a new phase. For our era is characterized by an extraordinary complexity and a deepening in our perception of the world; there is an unusual growth in demands on human discernment, on mature objectivity and the critical faculty. These are features that will shape the further development of the novel as well.

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