THE IMPLEMENTATION OF HERO'S JOURNEY IN THE MAZE RUNNER NOVEL TRILOGY

REFERENCES

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The Writer's Journey

Mythic Structure for Writers

Third Edition

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I'm retelling the hero myth in my own way, and you should feel free to do the same. Every storyteller bends the mythic pattern to his or her own purpose or the needs of a particular culture.

That's why the hero has a thousand faces.

A note about the term "hero": As used here, the word, like "doctor" or "poet," may refer to a woman or a man.

THE HERO'S JOURNEY

At heart, despite its infinite variety, the hero's story is always a journey. A hero leaves her comfortable, ordinary surroundings to venture into a challenging, unfamiliar world. It may be an outward journey to an actual place: a labyrinth, forest or cave, a strange city or country, a new locale that becomes the arena for her conflict with antagonistic, challenging forces.

But there are as many stories that take the hero on an inward journey, one of the mind, the heart, the spirit. In any good story the hero grows and changes, making a journey from one way of being to the next: from despair to hope, weakness to strength, folly to wisdom, love to hate, and back again. It's these emotional journeys that hook an audience and make a story worth watching.

The stages of the Hero's Journey can be traced in all kinds of stories, not just those that feature "heroic" physical action and adventure. The protagonist of every story is the hero of a journey, even if the path leads only into his own mind or into the realm of relationships.

The way stations of the Hero's Journey emerge naturally even when the writer is unaware of them, but some knowledge of this most ancient guide to storytelling is useful in identifying problems and telling better stories. Consider these twelve stages as a map of the Hero's Journey, one of many ways to get from here to there, but one of the most flexible, durable and dependable.

1. THE ORDINARY WORLD

Most stories take the hero out of the ordinary, mundane world and into a Special World, new and alien. This is the familiar "fish out of water" idea which has spawned countless films and TV shows ("The Fugitive," "The Beverly Hillbillies," *Mr. Smith Goes to Washington*, *A Connecticut Yankee in King Arthur's Court*, *The Wizard of Oz*, *Witness*, *48 Hours*, *Trading Places*, *Beverly Hills Cop*, etc.).

If you're going to show a fish out of his customary element, you first have to show him in that **Ordinary World** to create a vivid contrast with the strange new world he is about to enter.

In *Witness* you see both the city policeman and the Amish mother and son in their normal worlds before they are thrust into totally alien environments: the Amish being overwhelmed by the city, and the city cop encountering the 19th-century world of the Amish. You first see Luke Skywalker, hero of *Star Wars*, being bored to death as a farmboy before he sets out to tackle the universe.

Likewise in *The Wizard of Oz*, considerable time is spent to establish Dorothy's drab normal life in Kansas before she is blown to the wonderworld of Oz. Here the contrast is heightened by shooting the Kansas scenes in stern black and white while the Oz scenes are shot in vibrant Technicolor.

An Officer and a Gentleman sketches a vivid contrast between the Ordinary World of the hero — that of a tough Navy brat with a drunken, whore-chasing father — and the Special World of the spit-and-polish Navy flight school which the hero enters.

2. THE CALL TO ADVENTURE

The hero is presented with a problem, challenge, or adventure to undertake. Once presented with a **Call to Adventure**, she can no longer remain indefinitely in the comfort of the Ordinary World.

Perhaps the land is dying, as in the King Arthur stories of the search for the Grail, the only treasure that can heal the wounded land. In *Star Wars*, the Call to Adventure is Princess Leia's desperate holographic message to wise old Obi Wan Kenobi, who asks Luke to join in the quest. Leia has been snatched by evil Darth Vader, like the Greek springtime goddess Persephone, who was kidnapped to the underworld by Pluto, lord of the dead. Her rescue is vital to restoring the normal balance of the universe.

In many detective stories, the Call to Adventure is the private eye being asked to take on a new case and solve a crime which has upset the order of things. A good detective should right wrongs as well as solve crimes.

In revenge plots, the Call to Adventure is often a wrong which must be set right, an offense against the natural order of things. In *The Count of Monte Cristo*, Edmond Dantes is unjustly imprisoned and is driven to escape by his desire for revenge. The plot of *Beverly Hills Cop* is set in motion by the murder of the hero's best friend. *In First Blood* Rambo is motivated by his unfair treatment at the hands of an intolerant sheriff.

In romantic comedies, the Call to Adventure might be the first encounter with the special but annoying someone the hero or heroine will be pursuing and sparring with.

The Call to Adventure establishes the stakes of the game, and makes clear the hero's goal: to win the treasure or the lover, to get revenge or right a wrong, to achieve a dream, confront a challenge, or change a life.

What's at stake can often be expressed as a question posed by the call. Will E.T. or Dorothy in *The Wizard of Oz* get home again? Will Luke rescue Princess Leia and defeat Darth Vader? In *An Officer and a Gentleman*, will the hero be driven out of Navy flight school by his own selfishness and the needling of a fierce Marine drill instructor, or will he earn the right to be called an officer and a gentleman? Boy meets girl, but does boy get girl?

3. Refusal of the Call (The Reluctant Hero)

This one is about fear. Often at this point the hero balks at the threshold of adventure, **Refusing the Call** or expressing reluctance. After all, she is facing the greatest of all fears, terror of the unknown. The hero has not yet fully committed to the journey and may still be thinking of turning back. Some other influence — a change in circumstances, a further offense against the natural order of things, or the encouragement of a Mentor — is required to get her past this turning point of fear.

In romantic comedies, the hero may express reluctance to get involved (maybe because of the pain of a previous relationship). In a detective story, the private eye may at first turn down the case, only to take it on later against his better judgment.

At this point in *Star Wars*, Luke refuses Obi Wan's Call to Adventure and returns to his aunt and uncle's farmhouse, only to find they have been barbecued by the Emperor's stormtroopers. Suddenly Luke is no longer reluctant and is eager to undertake the quest. The evil of the Empire has become personal to him. He is motivated.

4. MENTOR (THE WISE OLD MAN OR WOMAN)

By this time many stories will have introduced a Merlin-like character who is the hero's **Mentor**. The relationship between hero and Mentor is one of the most common themes in mythology, and one of the richest in its symbolic value. It stands for the bond between parent and child, teacher and student, doctor and patient, god and man.

The Mentor may appear as a wise old wizard (*Star Wars*), a tough drill sergeant (*An Officer and a Gentleman*), or a grizzled old boxing coach (*Rocky*). In the mythology of "The Mary Tyler Moore Show", it was Lou Grant. In *Jaws* it's the crusty Robert Shaw character who knows all about sharks.

The function of Mentors is to prepare the hero to face the unknown. They may give advice, guidance or magical equipment. Obi Wan in *Star Wars* gives Luke his father's light-saber, which he will need in his battles with the dark side of the Force. In *The Wizard of Oz*, Glinda the Good Witch gives Dorothy guidance and the ruby slippers that will eventually get her home again.

However, the Mentor can only go so far with the hero. Eventually the hero must face the unknown alone. Sometimes the Mentor is required to give the hero a swift kick in the pants to get the adventure going.

5. CROSSING THE FIRST THRESHOLD

Now the hero finally commits to the adventure and fully enters the Special World of the story for the first time by **Crossing the First Threshold**. He agrees to face the consequences of dealing with the problem or challenge posed in the Call to Adventure. This is the moment when the story takes off and the adventure really gets going. The balloon goes up, the ship sails, the romance begins, the plane or the spaceship soars off, the wagon train gets rolling.

Movies are often built in three acts, which can be regarded as representing 1) the hero's decision to act, 2) the action itself, and 3) the consequences of the action.

The First Threshold marks the turning point between Acts One and Two. The hero, having overcome fear, has decided to confront the problem and take action. She is now committed to the journey and there's no turning back.

This is the moment when Dorothy sets out on the Yellow Brick Road. The hero of *Beverly Hills Cop*, Axel Foley, decides to defy his boss's order, leaving his Ordinary World of the Detroit streets to investigate his friend's murder in the Special World of Beverly Hills.

6. Tests, Allies, and Enemies

Once across the First Threshold, the hero naturally encounters new challenges and **Tests**, makes **Allies and Enemies**, and begins to learn the rules of the Special World.

Saloons and seedy bars seem to be good places for these transactions. Countless Westerns take the hero to a saloon where his manhood and determination are tested, and where friends and villains are introduced. Bars are also useful to the hero for obtaining information, for learning the new rules that apply to the Special World.

In *Casablanca*, Rick's Cafe is the den of intrigue in which alliances and enmities are forged, and in which the hero's moral character is constantly tested. In *Star Wars*, the cantina is the setting for the creation of a major alliance with Han Solo and the making of an important enmity with Jabba the Hutt, which pays off two movies later in *Return of the Jedi*. Here in the giddy, surreal, violent atmosphere of the cantina swarming with bizarre aliens, Luke also gets a taste of the exciting and dangerous Special World he has just entered.

Scenes like these allow for character development as we watch the hero and his companions react under stress. In the *Star Wars* cantina, Luke gets to see Han Solo's way of handling a tight situation, and learns that Obi Wan is a warrior wizard of great power.

There are similar sequences in *An Officer and a Gentleman* at about this point, in which the hero makes allies and enemies and meets his "love interest." Several aspects of the hero's character — aggressiveness and hostility, knowledge of street fighting, attitudes about women — are revealed under pressure in these scenes, and sure enough, one of them takes place in a bar.

Of course not all Tests, Alliances, and Enmities are confronted in bars. In many stories, such as *The Wizard of Oz*, these are simply encounters on the road. At this stage on the Yellow Brick Road, Dorothy acquires her companions the Scarecrow, Tin Woodsman and Cowardly Lion, and makes enemies such as an orchard full of grumpy talking trees. She passes a number of Tests such as getting Scarecrow off the nail, oiling the Tin Woodsman, and helping the Cowardly Lion deal with his fear.

In *Star Wars* the Tests continue after the cantina scene. Obi Wan teaches Luke about the Force by making him fight blindfolded. The early laser battles with the Imperial fighters are another Test which Luke successfully passes.

7. APPROACH TO THE INMOST CAVE

The hero comes at last to the edge of a dangerous place, sometimes deep underground, where the object of the quest is hidden. Often it's the headquarters of the hero's greatest enemy, the most dangerous spot in the Special World, the **Inmost Cave**. When the hero enters that fearful place he will cross the second major threshold. Heroes often pause at the gate to prepare, plan, and outwit the villain's guards. This is the phase of **Approach**.

In mythology the Inmost Cave may represent the land of the dead. The hero may have to descend into hell to rescue a loved one (Orpheus), into a cave to fight a dragon and win a treasure (Sigurd in Norse myth), or into a labyrinth to confront a monster (Theseus and the Minotaur).

In the Arthurian stories the Inmost Cave is the Chapel Perilous, the dangerous chamber where the seeker may find the Grail.

In the modern mythology of *Star Wars* the Approach to the Inmost Cave is Luke Skywalker and company being sucked into the Death Star where they will face Darth Vader and rescue Princess Leia. In *The Wizard of Oz* it's Dorothy being kidnapped to the Wicked Witch's baleful castle, and her companions slipping in to save her. The title of *Indiana Jones and the Temple of Doom* reveals the Inmost Cave of that film.

Approach covers all the preparations for entering the Inmost Cave and confronting death or supreme danger.

8. THE ORDEAL

Here the fortunes of the hero hit bottom in a direct confrontation with his greatest fear. He faces the possibility of death and is brought to the brink in a battle with a

hostile force. **The Ordeal** is a "black moment" for the audience, as we are held in suspense and tension, not knowing if he will live or die. The hero, like Jonah, is "in the belly of the beast."

In *Star Wars* it's the harrowing moment in the bowels of the Death Star when Luke, Leia, and company are trapped in the giant trashmasher. Luke is pulled under by the tentacled monster that lives in the sewage and is held down so long that the audience begins to wonder if he's dead. In *E.T.*, the lovable alien momentarily appears to die on the operating table. In *The Wizard of Oz* Dorothy and her friends are trapped by the Wicked Witch, and it looks like there's no way out. At this point in *Beverly Hills Cop* Axel Foley is in the clutches of the villain's men with a gun to his head.

In *An Officer and a Gentleman*, Zack Mayo endures an Ordeal when his Marine drill instructor launches an all-out drive to torment and humiliate him into quitting the program. It's a psychological life-or-death moment, for if he gives in, his chances of becoming an officer and a gentleman will be dead. He survives the Ordeal by refusing to quit, and the Ordeal changes him. The drill sergeant, a foxy Wise Old Man, has forced him to admit his dependency on others, and from this moment on he is more cooperative and less selfish.

In romantic comedies the death faced by the hero may simply be the temporary death of the relationship, as in the second movement of the old standard plot, "Boy meets girl, boy loses girl, boy gets girl." The hero's chances of connecting with the object of affection look their bleakest.

This is a critical moment in any story, an Ordeal in which the hero must die or appear to die so that she can be born again. It's a major source of the magic of the heroic myth. The experiences of the preceding stages have led us, the audience, to identify with the hero and her fate. What happens to the hero happens to us. We are encouraged to experience the brink-of-death moment with her. Our emotions are temporarily depressed so that they can be revived by the hero's return from death. The result of this revival is a feeling of elation and exhilaration.

The designers of amusement park thrill rides know how to use this principle. Roller coasters make their passengers feel as if they're going to die, and there's a great thrill that comes from brushing up against death and surviving it. You're never more alive than when you're looking death in the face.

This is also the key element in rites of passage or rituals of initiation into fraternities and secret societies. The initiate is forced to taste death in some terrible

experience, and then is allowed to experience resurrection as he is reborn as a new member of the group. The hero of every story is an initiate being introduced to the mysteries of life and death.

Every story needs such a life-or-death moment in which the hero or his goals are in mortal jeopardy.

9. REWARD (SEIZING THE SWORD)

Having survived death, beaten the dragon, or slain the Minotaur, hero and audience have cause to celebrate. The hero now takes possession of the treasure she has come seeking, her **Reward**. It might be a special weapon like a magic sword, or a token like the Grail or some elixir which can heal the wounded land.

Sometimes the "sword" is knowledge and experience that leads to greater understanding and a reconciliation with hostile forces.

In *Star Wars* , Luke rescues Princess Leia and captures the plans of the Death Star, keys to defeating Darth Vader.

Dorothy escapes from the Wicked Witch's castle with the Witch's broomstick and the ruby slippers, keys to getting back home.

At this point the hero may also settle a conflict with a parent. *In Return of the Jedi*, Luke is reconciled with Darth Vader, who turns out to be his father and not such a bad guy after all.

The hero may also be reconciled with the opposite sex, as in romantic comedies. In many stories the loved one is the treasure the hero has come to win or rescue, and there is often a love scene at this point to celebrate the victory.

From the hero's point of view, members of the opposite sex may appear to be **Shapeshifters**, an archetype of change. They seem to shift constantly in form or age, reflecting the confusing and constantly changing aspects of the opposite sex. Tales of vampires, werewolves and other shapechangers are symbolic echoes of this shifting quality which men and women see in each other.

The hero's Ordeal may grant a better understanding of the opposite sex, an ability to see beyond the shifting outer appearance, leading to a reconciliation.

The hero may also become more attractive as a result of having survived the Ordeal. He has earned the title of "hero" by having taken the supreme risk on behalf of the community.

10. The Road Back

The hero's not out of the woods yet. We're crossing into Act Three now as the hero begins to deal with the consequences of confronting the dark forces of the Ordeal. If she has not yet managed to reconcile with the parent, the gods, or the hostile forces, they may come raging after her. Some of the best chase scenes spring up at this point, as the hero is pursued on **The Road Back** by the vengeful forces she has disturbed by Seizing the sword, the elixir, or the treasure.

Thus Luke and Leia are furiously pursued by Darth Vader as they escape the Death Star. The Road Back in *E.T.* is the moonlight bicycle flight of Elliott and E.T. as they escape from "Keys" (Peter Coyote), who represents repressive governmental authority.

This stage marks the decision to return to the Ordinary World. The hero realizes that the Special World must eventually be left behind, and there are still dangers, temptations, and tests ahead.

11. Resurrection

In ancient times, hunters and warriors had to be purified before they returned to their communities, because they had blood on their hands. The hero who has been to the realm of the dead must be reborn and cleansed in one last Ordeal of death and **Resurrection** before returning to the Ordinary World of the living.

This is often a second life-and-death moment, almost a replay of the death and rebirth of the Ordeal. Death and darkness get in one last, desperate shot before being finally defeated. It's a kind of final exam for the hero, who must be tested once more to see if he has really learned the lessons of the Ordeal.

The hero is transformed by these moments of death-and-rebirth, and is able to return to ordinary life reborn as a new being with new insights.

The Star Wars films play with this element constantly. The films of the "original trilogy" feature a final battle scene in which Luke is almost killed, appears to be dead for a moment, and then miraculously survives. Each Ordeal wins him new knowledge and command over the Force. He is transformed into a new being by his experience.

Axel Foley in the climactic sequence of *Beverly Hills Cop* once again faces death at the hands of the villain, but is rescued by the intervention of the Beverly Hills

police force. He emerges from the experience with a greater respect for cooperation, and is a more complete human being.

An Officer and a Gentleman offers a more complex series of final ordeals, as the hero faces death in a number of ways. Zack's selfishness dies as he gives up the chance for a personal athletic trophy in favor of helping another cadet over an obstacle. His relationship with his girlfriend seems to be dead, and he must survive the crushing blow of his best friend's suicide. As if that weren't enough, he also endures a final hand-to-hand, life-or-death battle with his drill instructor, but survives it all and is transformed into the gallant "officer and gentleman" of the title.

12. RETURN WITH THE ELIXIR

The hero Returns to the Ordinary World, but the journey is meaningless unless she brings back some Elixir, treasure, or lesson from the Special World. The Elixir is a magic potion with the power to heal. It may be a great treasure like the Grail that magically heals the wounded land, or it simply might be knowledge or experience that could be useful to the community someday.

Dorothy returns to Kansas with the knowledge that she is loved, and that "There's no place like home." E.T. returns home with the experience of friendship with humans. Luke Skywalker defeats Darth Vader (for the time being) and restores peace and order to the galaxy.

Zack Mayo wins his commission and leaves the Special World of the training base with a new perspective. In the sparkling new uniform of an officer (with a new attitude to match) he literally sweeps his girlfriend off her feet and carries her away.

Sometimes the Elixir is treasure won on the quest, but it may be love, freedom, wisdom, or the knowledge that the Special World exists and can be survived. Sometimes it's just coming home with a good story to tell.

Unless something is brought back from the Ordeal in the Inmost Cave, the hero is doomed to repeat the adventure. Many comedies use this ending, as a foolish character refuses to learn his lesson and embarks on the same folly that got him in trouble in the first place.

THE ARCHETYPES

"Summoned or not, the god will come."

— Motto over the door of Carl Jung's house

s soon as you enter the world of fairy tales and myths, you become aware of recurring character types and relationships: questing heroes, heralds who call them to adventure, wise old men and women who give them magical gifts, threshold guardians who seem to block their way, shapeshifting fellow travelers who confuse and dazzle them, shadowy villains who try to destroy them, tricksters who upset the status quo and provide comic relief. In describing these common character types, symbols, and relationships the Swiss psychologist Carl G. Jung employed the term archetypes, meaning ancient patterns of personality that are the shared heritage of the human race.

Jung suggested there may be a collective unconscious, similar to the personal unconscious. Fairy tales and myths are like the dreams of an entire culture, springing from the collective unconscious. The same character types seem to occur on both the personal and the collective scale. The archetypes are amazingly constant throughout all times and cultures, in the dreams and personalities of individuals as well as in the mythic imagination of the entire world. An understanding of these forces is one of the most powerful elements in the modern storyteller's bag of tricks.

The concept of archetypes is an indispensable tool for understanding the purpose or function of characters in a story. If you grasp the function of the archetype which a particular character is expressing, it can help you determine if the character is pulling her full weight in the story. The archetypes are part of the universal language of storytelling, and a command of their energy is as essential to the writer as breathing.

Joseph Campbell spoke of the archetypes as biological: as expressions of the organs of the body, built into the wiring of every human being. The universality of these patterns makes possible the shared experience of storytelling. Storytellers instinctively choose characters and relationships that resonate to the energy of the archetypes, to create dramatic experiences that are recognizable to everyone. Becoming aware of the archetypes can only expand your command of your craft.

ARCHETYPES AS FUNCTIONS

When I first began working with these ideas I thought of an archetype as a fixed role which a character would play exclusively throughout a story. Once I identified a character as a mentor, I expected her to remain a mentor and only a mentor. However, as I worked with fairy tale motifs as a story consultant for Disney Animation, I encountered another way of looking at the archetypes — not as rigid character roles but as functions performed temporarily by characters to achieve certain effects in a story. This observation comes from the work of the Russian fairy tale expert Vladimir Propp, whose book, *Morphology of the Folktale*, analyzes motifs and recurrent patterns in hundreds of Russian tales.

Looking at the archetypes in this way, as flexible character functions rather than as rigid character types, can liberate your storytelling. It explains how a character in a story can manifest the qualities of more than one archetype. The archetypes can be thought of as masks, worn by the characters temporarily as they are needed to advance the story. A character might enter the story performing the function of a herald, then switch masks to function as a trickster, a mentor, and a shadow.

FACETS OF THE HERO'S PERSONALITY

Another way to look at the classic archetypes is that they are facets of the hero's (or the writer's) personality. The other characters represent possibilities for the hero, for

The archetypes can also be regarded as personified symbols of various human qualities. Like the major arcana cards of the Tarot, they stand for the aspects of a complete human personality. Every good story reflects the total human story, the universal human condition of being born into this world, growing, learning, struggling to become an individual, and dying. Stories can be read as metaphors for the general human situation, with characters who embody universal, archetypal qualities, comprehensible to the group as well as the individual.

THE MOST COMMON AND USEFUL ARCHETYPES

For the storyteller, certain character archetypes are indispensable tools of the trade. You can't tell stories without them. The archetypes that occur most frequently in stories, and that seem to be the most useful for the writer to understand, are:

HERO
MENTOR (Wise Old Man or Woman)
THRESHOLD GUARDIAN
HERALD
SHAPESHIFTER
SHADOW
ALLY
TRICKSTER

There are, of course, many more archetypes; as many as there are human qualities to dramatize in stories. Fairy tales are crowded with archetypal figures: the Wolf, the Hunter, the Good Mother, the Wicked Stepmother, the Fairy Godmother, the Witch, the Prince or Princess, the Greedy Innkeeper, and so forth, who perform highly specialized functions. Jung and others have identified many psychological archetypes, such as the *Puer Aeternus* or eternal boy, who can be found in myths as the ever-youthful Cupid, in stories as characters such as Peter Pan, and in life as men who never want to grow up.

Particular genres of modern stories have their specialized character types, such as the "Whore with the Heart of Gold" or the "Arrogant West Point Lieutenant" in Westerns, the "Good Cop/Bad Cop" pairing in buddy pictures, or the "Tough but Fair Sergeant" in war movies.

HERO

"We're on a mission from God."
— from *The Blues Brothers* screenplay
by Dan Aykroyd and John Landis

The word **hero** is Greek, from a root that means "to protect and to serve" (incidentally the motto of the Los Angeles Police Department). A Hero is someone who is willing to sacrifice his own needs on behalf of others, like a shepherd who will sacrifice to protect and serve his flock. At the root the idea of **Hero** is connected with self-sacrifice. (Note that I use the word Hero to describe a central character or protagonist of either sex.)

PSYCHOLOGICAL FUNCTION

In psychological terms, the archetype of the Hero represents what Freud called the ego — that part of the personality that separates from the mother, that considers itself distinct from the rest of the human race. Ultimately, a Hero is one who is able to transcend the bounds and illusions of the ego, but at first, Heroes are all ego: the I, the one, that personal identity which thinks it is separate from the rest of the group. The journey of many Heroes is the story of that separation from the family or tribe, equivalent to a child's sense of separation from the mother.

such as the ability to love or trust. Heroes may have to overcome some problem such as lack of patience or decisiveness. Audiences love watching Heroes grapple with personality problems and overcome them. Will Edward, the rich but cold-hearted businessman of *Pretty Woman*, warm up under the influence of the life-loving Vivian and become her Prince Charming? Will Vivian gain some self-respect and escape her life of prostitution? Will Conrad, the guilt-ridden teenager in *Ordinary People*, regain his lost ability to accept love and intimacy?

VARIETIES OF HERO

Heroes come in many varieties, including willing and unwilling Heroes, group-oriented and loner Heroes, Anti-heroes, tragic Heroes, and catalyst Heroes. Like all the other archetypes, the Hero is a flexible concept that can express many kinds of energy. Heroes may combine with other archetypes to produce hybrids like the Trickster Hero, or they may temporarily wear the mask of another archetype, becoming a Shapeshifter, a Mentor to someone else, or even a Shadow.

Although usually portrayed as a positive figure, the Hero may also express dark or negative sides of the ego. The Hero archetype generally represents the human spirit in positive action, but may also show the consequences of weakness and reluctance to act.

WILLING AND UNWILLING HEROES

It seems Heroes are of two types: 1) willing, active, gung-ho, committed to the adventure, without doubts, always bravely going ahead, self-motivated, or 2) unwilling, full of doubts and hesitations, passive, needing to be motivated or pushed into the adventure by outside forces. Both make equally entertaining stories, although a Hero who is passive throughout may make for an uninvolving dramatic experience. It's usually best for an unwilling Hero to change at some point, to become committed to the adventure after some necessary motivation has been supplied.

ANTI-HEROES

Anti-hero is a slippery term that can cause a lot of confusion. Simply stated, an Anti-hero is not the opposite of a Hero, but a specialized kind of Hero, one who

may be an outlaw or a villain from the point of view of society, but with whom the audience is basically in sympathy. We identify with these outsiders because we have all felt like outsiders at one time or another.

Anti-Heroes may be of two types: 1) characters who behave much like conventional Heroes, but are given a strong touch of cynicism or have a wounded quality, like Bogart's characters in *The Big Sleep* and *Casablanca*, or 2) tragic Heroes, central figures of a story who may not be likeable or admirable, whose actions we may even deplore, like Macbeth or Scarface or the Joan Crawford of *Mommie Dearest*.

The wounded Anti-hero may be a heroic knight in tarnished armor, a loner who has rejected society or been rejected by it. These characters may win at the end and may have the audience's full sympathy at all times, but in society's eyes they are outcasts, like Robin Hood, roguish pirate or bandit Heroes, or many of Bogart's characters. They are often honorable men who have withdrawn from society's corruption, perhaps ex-cops or soldiers who became disillusioned and now operate in the shadow of the law as private eyes, smugglers, gamblers, or soldiers of fortune. We love these characters because they are rebels, thumbing their noses at society as we would all like to do. Another archetype of this kind is personified in James Dean in *Rebel Without a Cause* and *East of Eden*, or the young Marlon Brando, whose character in *The Wild One* acted out a new and quite different generation's dissatisfaction with the old. Actors like Mickey Rourke, Matt Dillon, and Sean Penn carry on the tradition today.

The second type of Anti-hero is more like the classical idea of the tragic Hero. These are flawed Heroes who never overcome their inner demons and are brought down and destroyed by them. They may be charming, they may have admirable qualities, but the flaw wins out in the end. Some tragic Anti-heroes are not so admirable, but we watch their downfall with fascination because "there, but for the grace of God, go I." Like the ancient Greeks who watched Oedipus fall, we are purged of our emotions and we learn to avoid the same pitfalls as we watch the destruction of Al Pacino's character in *Scarface*, Sigourney Weaver as Dian Fossey in *Gorillas in the Mist*, or Diane Keaton's character in *Looking for Mr. Goodbar*.

GROUP-ORIENTED HEROES

Another distinction must be made about Heroes with respect to their orientation to society. Like the first storytellers, the earliest humans who went out hunting and

CATALYST HEROES

A certain class of Hero is an exception to the rule that the Hero is usually the character who undergoes the most change. These are catalyst Heroes, central figures who may act heroically, but who do not change much themselves because their main function is to bring about transformation in others. Like a true catalyst in chemistry, they bring about a change in a system without being changed themselves.

A good example is Eddie Murphy's character Axel Foley from *Beverly Hills Cop*. His personality is already fully formed and distinctive at the story's beginning. He doesn't have much of a character arc because he has nowhere to go. He doesn't learn or change much in the course of the story, but he does bring about change in his Beverly Hills cop buddies, Taggart and Rosewood. By comparison they have relatively strong character arcs, from being uptight and by-the-book to being hip and streetwise, thanks to Axel's influence. In fact, although Axel is the central figure, the villain's main opponent, and the character with the best lines and the most screen time, it could be argued that he is not the true Hero, but the Mentor of the piece, while young Rosewood (Judge Reinhold) is the actual Hero because he learns the most.

Catalyst Heroes are especially useful in continuing stories such as episodic TV shows and sequels. Like The Lone Ranger or Superman, these Heroes undergo few internal changes, but primarily act to help others or guide them in their growth. Of course it's a good idea once in a while to give even these characters some moments of growth and change to help keep them fresh and believable.

THE ROAD OF HEROES

Heroes are symbols of the soul in transformation, and of the journey each person takes through life. The stages of that progression, the natural stages of life and growth, make up the Hero's Journey. The Hero archetype is a rich field for exploration by writers and spiritual seekers. Carol S. Pearson's book *Awakening the Heroes* Within further breaks down the idea of the Hero into useful archetypes (Innocent, Orphan, Martyr, Wanderer, Warrior, Caregiver, Seeker, Lover, Destroyer, Creator, Ruler, Magician, Sage, and Fool) and graphs the emotional progress of each. It's a good guide to a deeper psychological understanding of the Hero in its many facets. The special avenues traveled by some female heroes are described in *The Heroine's Journey: Woman's Quest for Wholeness* by Maureen Murdock.

Stage One:
THE ORDINARY WORLD

"A beginning is a very delicate time."

— from *Dune*, screenplay by David Lynch, based on the novel by Frank Herbert

In *The Hero with a Thousand Faces*, Joseph Campbell describes the beginning of the typical hero's journey. "A hero ventures forth from the world of common day into a region of supernatural wonder..." In this chapter, we'll explore that "world of common day," the **Ordinary World**, and see how it frames the hero and sets modern-day stories in motion.

The opening of any story, be it myth, fairy tale, screenplay, novel, short story, or comic book, has some special burdens to bear. It must hook the reader or viewer, set the tone of the story, suggest where it's going, and get across a mass of information without slowing the pace. A beginning is, indeed, a delicate time.

A GUIDE TO THE JOURNEY

As a guide through the labyrinth of story, let's imagine ourselves as a tribe of people who live by hunting and gathering, as our ancestors did a hundred thousand years ago, or as people still do in remote parts of the world today. We'll check in with these Seekers at each stage of the hero's journey, and try to put ourselves in their skins.

A prologue is not necessary or desirable in every case. **The needs of the story will always dictate the best approach to structure.** You may want to begin, as many stories do, by introducing the hero in her normal environment: the "Ordinary World."

THE ORDINARY WORLD

Because so many stories are journeys that take heroes and audiences to Special Worlds, most begin by establishing an Ordinary World as a baseline for comparison. The Special World of the story is only special if we can see it in contrast to a mundane world of everyday affairs from which the hero issues forth. The Ordinary World is the context, home base, and background of the hero.

The Ordinary World in one sense is the place you came from last. In life we pass through a succession of Special Worlds which slowly become ordinary as we get used to them. They evolve from strange, foreign territory to familiar bases from which to launch a drive into the next Special World.

CONTRAST

It's a good idea for writers to make the Ordinary World as different as possible from the Special World, so audience and hero will experience a dramatic change when the threshold is finally crossed. In *The Wizard of Oz* the Ordinary World is depicted in black and white, to make a stunning contrast with the Technicolor Special World of Oz. In the thriller *Dead Again*, the Ordinary World of modern day is shot in color to contrast with the nightmarish black-and-white Special World of the 1940s flashbacks. *City Slickers* contrasts the drab, restrictive environment of the city with the more lively arena of the West where most of the story takes place.

Compared to the Special World, the Ordinary World may seem boring and calm, but the seeds of excitement and challenge can usually be found there. The hero's problems and conflicts are already present in the Ordinary World, waiting to be activated.

FORESHADOWING: A MODEL OF THE SPECIAL WORLD

Writers often use the Ordinary World section to create a small model of the Special World, **foreshadowing** its battles and moral dilemmas. In *The Wizard of Oz*, Dorothy clashes with ornery Miss Gulch and is rescued from danger by three farmhands.

Actors stepping onto a stage and writers introducing a character are also trying to *entrance* the audience, or produce in them a trance-like state of identification and recognition. One of the magic powers of writing is its ability to lure each member of the audience into projecting a part of their ego into the character on the page, screen, or stage.

As a writer you can build up an atmosphere of anticipation or provide information about an important character by having other characters talk about her before she shows up. But more important and memorable will be her own first action upon entering the story — her entrance.

INTRODUCING THE HERO TO THE AUDIENCE

Another important function of the Ordinary World is to **introduce** the hero to the audience. Like a social introduction, the Ordinary World establishes a bond between people and points out some common interests so that a dialogue can begin. In some way we should recognize that the hero is like us. In a very real sense, a story invites us to step into the hero's shoes, to see the world through his eyes. As if by magic we project part of our consciousness into the hero. To make this magic work you must establish a strong bond of sympathy or common interest between the hero and the audience.

This is not to say that heroes must always be good or wholly sympathetic. They don't even have to be likeable, but they must be *relatable*, a word used by movie executives to describe the quality of compassion and understanding that an audience must have for a hero. Even if the hero is underhanded or despicable, we can still understand her plight and imagine ourselves behaving in much the same way, given the same background, circumstances, and motivation.

IDENTIFICATION

The opening scenes should create an **identification** between audience and hero, a sense that they are equals in some ways.

How do you achieve this? Create identification by giving heroes universal goals, drives, desires, or needs. We can all relate to basic drives such as the need for recognition, affection, acceptance, or understanding. The screenwriter Waldo Salt, speaking of his script for *Midnight Cowboy*, said that his hero Joe Buck was driven by a universal human need to be touched. Even though Joe Buck engaged in some pretty sleazy behavior, we sympathize with his need because we have all experienced it at

Stage Two: THE CALL TO ADVENTURE

"It's money and adventure and fame! It's the thrill of a lifetime!...and a long sea voyage that starts at six o'clock tomorrow!"

— from *King Kong*, screenplay by
James Creelman and Ruth Rose

The Ordinary World of most heroes is a static but unstable condition. The seeds of change and growth are planted, and it takes only a little new energy to germinate them. That new energy, symbolized in countless ways in myths and fairy tales, is what Joseph Campbell termed the **Call to Adventure.**

Trouble shadows the Home Tribe. You hear its call, in the grumbling of our stomachs and the cries of our hungry children. The land for miles around is tapped out and barren and clearly someone must go out beyond the familiar territory. That unknown land is strange and fills us with fear, but pressure mounts to do something, to take some risks, so that life can continue.

A figure emerges from the campfire smoke, an elder of the Home Tribe, pointing to you. Yes, you have been chosen as a Seeker and called to begin a new quest. You'll venture your life so that the greater life of the Home Tribe may go on.

GET THE STORY ROLLING

Various theories of screenwriting acknowledge the Call to Adventure by other names such as the inciting or initiating incident, the catalyst, or the trigger. All agree that some event is necessary to get a story rolling, once the work of introducing the main character is done.

The Call to Adventure may come in the form of a message or a messenger. It may be a new event like a declaration of war, or the arrival of a telegram reporting that the outlaws have just been released from prison and will be in town on the noon train to gun down the sheriff. Serving a writ or warrant and issuing a summons are ways of giving Calls in legal proceedings.

The Call may simply be a stirring within the hero, a messenger from the unconscious, bearing news that it's time for change. These signals sometimes come in the form of dreams, fantasies, or visions. Roy Neary in *Close Encounters of the Third Kind* gets his Call in the form of haunting images of Devil's Tower drifting up from his subconscious. Prophetic or disturbing dreams help us prepare for a new stage of growth by giving us metaphors that reflect the emotional and spiritual changes to come.

The hero may just get fed up with things as they are. An uncomfortable situation builds up until that one last straw sends him on the adventure. Joe Buck in *Midnight Cowboy* has simply had enough of washing dishes in a diner and feels the Call building up inside him to hit the road of adventure. In a deeper sense, his universal human need is driving him, but it takes that one last miserable day in the diner to push him over the edge.

SYNCHRONICITY

A string of accidents or coincidences may be the message that calls a hero to adventure. This is the mysterious force of **synchronicity** which C. G. Jung explored in his writings. The coincidental occurrence of words, ideas, or events can take on meaning and draw attention to the need for action and change. Many thrillers such as Hitchcock's *Strangers on a Train* get rolling because an accident throws two people together as if by the hand of fate.

TEMPTATION

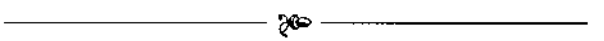
The Call to Adventure may summon a hero with **temptation**, such as the allure of an exotic travel poster or the sight of a potential lover. It could be the glint of gold, the rumor of treasure, the siren song of ambition. In the Arthurian legend of Percival (aka Parsifal), the innocent young hero is summoned to adventure by the sight of five magnificent knights in armor, riding off on some quest. Percival has never seen

issues another Call to physical adventure when he invites his cowboys to join him on the first great cattle drive after the Civil War.

Romancing the Stone issues a complex Call to Adventure to its hero Joan Wilder when she receives a phone call from her sister who has been kidnapped by thugs in Colombia. The simple Call of physical adventure is set up by the need to rescue the sister, but another Call is being made on a deeper level in this scene. Joan opens an envelope which her sister's husband has mailed to her and finds a map to the treasure mine of *El Corazon*, "The Heart," suggesting that Joan is also being called to an adventure of the heart.

THE WIZARD OF OZ

> *Dorothy's vague feelings of unease crystallize when Miss Gulch arrives and spitefully takes away Toto. A conflict is set up between two sides struggling for control of Dorothy's soul. A repressive Shadow energy is trying to bottle up the good-natured intuitive side. But the instinctive Toto escapes. Dorothy follows her instincts, which are issuing her a Call to Adventure, and runs away from home. She feels painted into a corner by a lack of sympathy from Aunt Em, her surrogate mother, who has scolded her. She sets out to respond to the Call, under a sky churning with the clouds of change.*



The Call to Adventure is a process of selection. An unstable situation arises in a society and someone volunteers or is chosen to take responsibility. Reluctant heroes have to be called repeatedly as they try to avoid responsibility. More willing heroes answer to inner calls and need no external urging. They have selected themselves for adventure. These gung-ho heroes are rare, and most heroes must be prodded, cajoled, wheedled, tempted, or shanghaied into adventure. Most heroes put up a good fight and entertain us by their efforts to escape the Call to Adventure. These struggles are the work of the reluctant hero or as Campbell called it, the Refusal of the Call.

Stage Three: Refusal of the Call

"You're not cut out for this, Joan, and you know it."

— from *Romancing the Stone*, screenplay by Diane Thomas

The problem of the hero now becomes how to respond to the Call to Adventure. Put yourself in the hero's shoes and you can see that it's a difficult passage. You're being asked to say yes to a great unknown, to an adventure that will be exciting but also dangerous and even life-threatening. It wouldn't be a real adventure otherwise. You stand at a threshold of fear, and an understandable reaction would be to hesitate or even refuse the Call, at least temporarily.

> *Gather your gear, fellow Seeker. Think ahead to possible dangers, and reflect on past disasters. The specter of the unknown walks among us, halting our progress at the threshold. Some of us turn down the quest, some hesitate, some are tugged at by families who fear for our lives and don't want us to go. You hear people mutter that the journey is foolhardy, doomed from the start. You feel fear constricting your breathing and making your heart race. Should you stay with the Home Tribe, and let others risk their necks in the quest? Are you cut out to be a Seeker?*

This halt on the road before the journey has really started serves an important dramatic function of signalling the audience that the adventure is risky. It's not a frivolous undertaking but a danger-filled, high-stakes gamble in which the

hero might lose fortune or life. The pause to weigh the consequences makes the commitment to the adventure a real choice in which the hero, after this period of hesitation or refusal, is willing to stake her life against the possibility of winning the goal. It also forces the hero to examine the quest carefully and perhaps redefine its objectives.

AVOIDANCE

It's natural for heroes to first react by trying to dodge the adventure. Even Christ, in the Garden of Gethsemane on the eve of the Crucifixion, prayed "Let this cup pass from me." He was simply checking to see if there was any way of avoiding the ordeal. Is this trip really necessary?

Even the most heroic of movie heroes will sometimes hesitate, express reluctance, or flatly refuse the Call. Rambo, Rocky, and innumerable John Wayne characters turn away from the offered adventure at first. A common grounds for Refusal is past experience. Heroes claim to be veterans of past adventures which have taught them the folly of such escapades. You won't catch them getting into the same kind of trouble again. The protest continues until the hero's Refusal is overcome, either by some stronger motivation (such as the death or kidnapping of a friend or relative) which raises the stakes, or by the hero's inborn taste for adventure or sense of honor.

Detectives and lovers may refuse the Call at first, referring to experiences which have made them sadder but wiser. There is charm in seeing a hero's reluctance overcome, and the stiffer the Refusal, the more an audience enjoys seeing it worn down.

EXCUSES

Heroes most commonly Refuse the Call by stating a laundry list of weak excuses. In a transparent attempt to delay facing their inevitable fate, they say they *would* undertake the adventure, if not for a pressing series of engagements. These are temporary roadblocks, usually overcome by the urgency of the quest.

Stage Four:
MEETING WITH THE MENTOR

"She (Athena) assumed the appearance of Mentor
and seemed so like him as to deceive both eye and ear..."
— *The Odyssey* of Homer

ometimes it's not a bad idea to refuse a Call until you've had time to prepare for the "zone unknown" that lies ahead. In mythology and folklore that preparation might be done with the help of the wise, protective figure of the **Mentor**, whose many services to the hero include protecting, guiding, teaching, testing, training, and providing magical gifts. In his study of Russian folktales, Vladimir Propp calls this character type the "donor" or "provider" because its precise function is to supply the hero with something needed on the journey. Meeting with the Mentor is the stage of the Hero's Journey in which the hero gains the supplies, knowledge, and confidence needed to overcome fear and commence the adventure.

> *You Seekers, fearful at the brink of adventure, consult with the elders of the Home Tribe. Seek out those who have gone before. Learn the secret lore of watering holes, game trails, and berry patches, and what badlands, quicksand, and monsters to avoid. An old one, too feeble to go out again, scratches a map for us in the dirt. The shaman of the tribe presses something into your hand, a magic gift, a potent talisman that will protect us and guide us on the quest. Now we can set out with lighter hearts and greater confidence, for we take with us the collected wisdom of the Home Tribe.*

Stage Five: Crossing the First Threshold

"Just follow the Yellow Brick Road."

— from *The Wizard of Oz*, screenplay by Noel Langley, Florence Ryerson, and Edgar Allan Woolf

Now the hero stands at the very threshold of the world of adventure, the Special World of Act Two. The call has been heard, doubts and fears have been expressed and allayed, and all due preparations have been made. But the real movement, the most critical action of Act One, still remains. **Crossing the First Threshold** is an act of the will in which the hero commits wholeheartedly to the adventure.

The ranks of the Seekers are thinner now. Some of us have dropped out, but the final few are ready to cross the threshold and truly begin the adventure. The problems of the Home Tribe are clear to everyone, and desperate — something must be done, now! Ready or not, we lope out of the village leaving all things familiar behind. As you pull away you feel the jerk of the invisible threads that bind you to your loved ones. It's difficult to pull away from everything you know but with a deep breath you go on, taking the plunge into the abyss of the unknown.

We enter a strange no-man's-land, a world between worlds, a zone of crossing that may be desolate and lonely, or in places, crowded with life. You sense the presence of other beings, other forces with sharp thorns or claws, guarding the way to the treasure you seek. But there's no turning back now, we all feel it; the adventure has begun for good or ill.

APPROACHING THE THRESHOLD

Heroes typically don't just accept the advice and gifts of their Mentors and then charge into the adventure. Often their final commitment is brought about through some external force which changes the course or intensity of the story. This is equivalent to the famous "plot point" or "turning point" of the conventional three-act movie structure. A villain may kill, harm, threaten, or kidnap someone close to the hero, sweeping aside all hesitation. Rough weather may force the sailing of a ship, or the hero may be given a deadline to achieve an assignment. The hero may run out of options, or discover that a difficult choice must be made. Some heroes are "shanghaied" into the adventure or pushed over the brink, with no choice but to commit to the journey. In *Thelma & Louise*, Louise's impulsive killing of a man who is assaulting Thelma is the action that pushes the women to Cross the First Threshold into a new world of being on the run from the law.

An example of the externally imposed event is found in Hitchcock's *North by Northwest*. Advertising man Roger Thornhill, mistaken for a daring secret agent, has been trying his best to avoid his Call to Adventure all through the first act. It takes a murder to get him committed to the journey. A man he's questioning at the U.N. building is killed in front of witnesses in such a way that everyone thinks Roger did it. Now he is truly a "man on the run," escaping both from the police and from the enemy agents who will stop at nothing to kill him. The murder is the external event that pushes the story over the First Threshold into the Special World, where the stakes are higher.

Internal events might trigger a Threshold Crossing as well. Heroes come to decision points where their very souls are at stake, where they must decide "Do I go on living my life as I always have, or will I risk everything in the effort to grow and change?" In *Ordinary People* the deteriorating life of the young hero Conrad gradually pressures him into making a choice, despite his fears, to see a therapist and explore the trauma of his brother's death.

Often a combination of external events and inner choices will boost the story towards the second act. In *Beverly Hills Cop* Axel Foley sees a childhood friend brutally executed by thugs, and is motivated to find the man who hired them. But it takes a separate moment of decision for him to overcome resistance and fully commit to the adventure. In a brief scene in which his boss warns him off the case,

you see him make the inner choice to ignore the warning and enter the Special World at any cost.

THRESHOLD GUARDIANS

As you approach the threshold you're likely to encounter beings who try to block your way. They are called Threshold Guardians, a powerful and useful archetype. They may pop up to block the way and test the hero at any point in a story, but they tend to cluster around the doorways, gates, and narrow passages of threshold crossings. Axel Foley's Detroit police captain, who firmly forbids him from getting involved in the investigation of the murder, is one such figure.

Threshold Guardians are part of the training of any hero. In Greek myth, the three-headed monster dog Cerberus guards the entrance to the underworld, and many a hero has had to figure out a way past his jaws. The grim ferryman Charon who guides souls across the River Styx is another Threshold Guardian who must be appeased with a gift of a penny.

The task for heroes at this point is often to figure out some way around or through these guardians. Often their threat is just an illusion, and the solution is simply to ignore them or to push through them with faith. Other Threshold Guardians must be absorbed or their hostile energy must be reflected back onto them. The trick may be to realize that what seems like an obstacle may actually be the means of climbing over the threshold. Threshold Guardians who seem to be enemies may be turned into valuable allies.

Sometimes the guardians of the First Threshold simply need to be acknowledged. They occupy a difficult niche and it wouldn't be polite to pass through their territory without recognizing their power and their important role of keeping the gate. It's a little like tipping a doorman or paying a ticket-taker at a theatre.

THE CROSSING

Sometimes this step merely signifies we have reached the border of the two worlds. We must take the leap of faith into the unknown or else the adventure will never really begin.

Countless movies illustrate the border between two worlds with the crossing of physical barriers such as doors, gates, arches, bridges, deserts, canyons, walls, cliffs,

STAGE SIX:
TESTS, ALLIES, ENEMIES

"See, you got three or four good pals, why then you got yourself a tribe — there ain't nothin' stronger than that."

— from *Young Guns*, screenplay by John Fusco

Now the hero fully enters the mysterious, exciting Special World which Joseph Campbell called "a dream landscape of curiously fluid, ambiguous forms, where he must survive a succession of trials." It's a new and sometimes frightening experience for the hero. No matter how many schools he has been through, he's a freshman all over again in this new world.

We Seekers are in shock — this new world is so different from the home we've always known. Not only are the terrain and the local residents different, the rules of this place are strange as they can be. Different things are valued here and we have a lot to learn about the local currency, customs, and language. Strange creatures jump out at you! Think fast! Don't eat that, it could be poison!

Exhausted by the journey across the desolate threshold zone, we're running out of time and energy. Remember our people back in the Home Tribe are counting on us. Enough sight-seeing, let's concentrate on the goal. We must go where the food and game and information are to be found. There our skills will be tested, and we'll come one step closer to what we seek.

CONTRAST

The audience's first impressions of the Special World should strike a sharp contrast with the Ordinary World. Think of Eddie Murphy's first look at the Special World of *Beverly Hills Cop*, which makes such a drastic contrast to his former world of Detroit. Even if the hero remains physically in the same place throughout the story, there is movement and change as new emotional territory is explored. A Special World, even a figurative one, has a different feel, a different rhythm, different priorities and values, and different rules. In *Father of the Bride* or *Guess Who's Coming to Dinner*, while there is no physical threshold, there's definitely a crossing into a Special World with new conditions.

When a submarine dives, a wagon train leaves St. Louis, or the starship Enterprise leaves the earth, the conditions and rules of survival change. Things are often more dangerous, and the price of mistakes is higher.

TESTING

The most important function of this period of adjustment to the Special World is **testing**. Storytellers use this phase to test the hero, putting her through a series of trials and challenges that are meant to prepare her for greater ordeals ahead.

Joseph Campbell illustrates this stage with the tale of Psyche, who is put through a fairy-tale-like series of Tests before winning back her lost love, Cupid (Eros). This tale has been wisely interpreted by Robert A. Johnson in his book on feminine psychology, *She*. Psyche is given three seemingly impossible tasks by Cupid's jealous mother Venus and passes the Tests with the help of beings to whom she has been kind along the way. She has made Allies.

The Tests at the beginning of Act Two are often difficult obstacles, but they don't have the maximum life-and-death quality of later events. If the adventure were a college learning experience, Act One would be a series of entrance exams, and the Test stage of Act Two would be a series of pop quizzes, meant to sharpen the hero's skill in specific areas and prepare her for the more rigorous midterm and final exams coming up.

The Tests may be a continuation of the Mentor's training. Many Mentors accompany their heroes this far into the adventure, coaching them for the big rounds ahead.

The Tests may also be built into the architecture or landscape of the Special World. This world is usually dominated by a villain or Shadow who is careful to surround his world with traps, barricades, and checkpoints. It's common for heroes to fall into traps here or trip the Shadow's security alarms. How the hero deals with these traps is part of the Testing.

ALLIES AND ENEMIES

Another function of this stage is the making of Allies or Enemies. It's natural for heroes just arriving in the Special World to spend some time figuring out who can be trusted and relied upon for special services, and who is not to be trusted. This too is a kind of Test, examining if the hero is a good judge of character.

ALLIES

Heroes may walk into the Test stage looking for information, but they may walk out with new friends or Allies. In *Shane*, a shaky partnership between the gunfighter Shane (Alan Ladd) and the farmer (Van Heflin) is cemented into a real friendship by the shared ordeal of a saloon-shattering brawl. When John Dunbar in *Dances with Wolves* crosses the threshold into the Special World of the frontier, he gradually makes alliances with Kicking Bear (Graham Greene) and the wolf he names Two Socks.

SIDEKICKS

Westerns frequently make use of a long-standing bond between a hero and a **sidekick**, an Ally who generally rides with the hero and supports his adventures. The Lone Ranger has Tonto, Zorro has the servant Bernardo, the Cisco Kid has Pancho. These pairings of hero and sidekick can be found throughout myth and literature: Sherlock Holmes and Dr. Watson, Don Quixote and Sancho Panza, Prince Hal and Falstaff, or the Sumerian hero Gilgamesh and his wild companion Enkidu.

These close Allies of the hero may provide comic relief as well as assistance. **Comical sidekicks**, played by character actors such as Walter Brennan, Gabby Hayes, Fuzzy Knight, and Slim Pickens, provide humor lacking in their stalwart, serious heroes they accompany. Such figures may freely cross the boundaries between

Stage Seven:
APPROACH TO THE INMOST CAVE

COWARDLY LION: *There's only one thing more I'd like you fellows to do.*
TIN WOODSMAN, SCARECROW: *What's that?*
COWARDLY LION: *Talk me out of it!*
— from *The Wizard of Oz*

Heroes, having made the adjustment to the Special World, now go on to seek its heart. They pass into an intermediate region between the border and the very center of the Hero's Journey. On the way they find another mysterious zone with its own Threshold Guardians, agendas, and tests. This is the **Approach to the Inmost Cave**, where soon they will encounter supreme wonder and terror. It's time to make final preparations for the central ordeal of the adventure. Heroes at this point are like mountaineers who have raised themselves to a base camp by the labors of Testing, and are about to make the final assault on the highest peak.

Our band of Seekers leaves the oasis at the edge of the new world, refreshed and armed with more knowledge about the nature and habits of the game we're hunting. We're ready to press on to the heart of the new world where the greatest treasures are guarded by our greatest fears.

Look around at your fellow Seekers. We've changed already and new qualities are emerging. Who's the leader now? Some who were not suited for life in the Ordinary World are now thriving. Others who seemed ideal for adventure are turning out to be the least able. A new perception of yourself and others is forming. Based on this new awareness, you can make plans and direct yourself towards getting what you want from the Special World. Soon you will be ready to enter the Inmost Cave.

our way. If we understand or empathize with them, the job of getting past them or absorbing their energy is much easier. We can turn their attacks into opportunities to get into their skin. Heroes may also put on disguises to conceal their real intentions as they get close to the Inmost Cave of the opponent.

BREAKTHROUGH

The three heroes now discard their disguises and make their way to the chamber of the castle where Dorothy is imprisoned. The Tin Woodsman uses his axe to chop through the door.

Message: At some point it may be necessary to use force to break through the final veil to the Inmost Cave. The hero's own resistance and fear may have to be overcome by a violent act of will.

NO EXIT

With Dorothy rescued, and the foursome united again, they now turn their attention to escape. But they are blocked in all directions by the witch's guards.

Message: No matter how heroes try to escape their fate, sooner or later the exits are closed off and the life-and-death issue must be faced. With Dorothy and companions "trapped like rats," the Approach to the Inmost Cave is complete.

The Approach encompasses all the final preparations for the Supreme Ordeal. It often brings heroes to a stronghold of the opposition, a defended center where every lesson and Ally of the journey so far comes into play. New perceptions are put to the test, and the final obstacles to reaching the heart are overcome, so that the Supreme Ordeal may begin.

STAGE EIGHT:
THE ORDEAL

JAMES BOND: *What do you expect me to do, Goldfinger?*
GOLDFINGER: *Why Mr. Bond, I expect you to die.*
— from *Goldfinger*, screenplay
by Richard Maibaum and Paul Dehn

Now the hero stands in the deepest chamber of the Inmost Cave, facing the greatest challenge and the most fearsome opponent yet. This the real heart of the matter, what Joseph Campbell called the **Ordeal**. It is the mainspring of the heroic form and the key to its magic power.

> *Seeker, enter the Inmost Cave and look for that which will restore life to the Home Tribe. The way grows narrow and dark. You must go alone on hands and knees and you feel the earth press close around you. You can hardly breathe. Suddenly you come out into the deepest chamber and find yourself face-to-face with a towering figure, a menacing Shadow composed of all your doubts and fears and well armed to defend a treasure. Here, in this moment, is the chance to win all or die. No matter what you came for, it's Death that now stares back at you. Whatever the outcome of the battle, you are about to taste death and it will change you.*

DEATH AND REBIRTH

The simple secret of the Ordeal is this: **Heroes must die so that they can be reborn.** The dramatic movement that audiences enjoy more than any other is death and rebirth. In some way in every story, heroes face death or something like it: their

To a shaman like Obi Wan, death is a familiar threshold that can be crossed back and forth with relative ease. Obi Wan lives within Luke and the audience through his teachings. Despite physical death he is able to give Luke crucial advice at later points in the story: "Trust the Force, Luke."

HERO CAUSES DEATH

The hero doesn't have to die for the moment of death to have its effect. The hero may be a witness to death or the cause of death. In *Body Heat* the central event, William Hurt's Ordeal, is murdering Kathleen Turner's husband and disposing of his body. But it's a death for Hurt too, deep in his soul. His innocence has died, a victim of his own lust.

FACING THE SHADOW

By far the most common kind of Ordeal is some sort of battle or confrontation with an opposing force. It could be a deadly enemy villain, antagonist, opponent, or even a force of nature. An idea that comes close to encompassing all these possibilities is the archetype of the Shadow. A villain may be an external character, but in a deeper sense what all these words stand for is the negative possibilities of the hero himself. In other words, the hero's greatest opponent is his own Shadow.

As with all the archetypes, there are negative and positive manifestations of the Shadow. A dark side is needed sometimes to polarize a hero or a system, to give the hero some resistance to push against. Resistance can be your greatest source of strength. Ironically, what seem to be villains fighting for our death may turn out to be forces ultimately working for our good.

DEMONIZATION

Generally the Shadow represents the hero's fears and unlikeable, rejected qualities: all the things we don't like about ourselves and try to project onto other people. This form of projection is called **demonizing**. People in emotional crisis will sometimes project all their problems in a certain area onto another person or group who become the symbol of everything they hate and fear in themselves. In war and propaganda, the enemy becomes an inhuman devil, the dark Shadow of the righteous, angelic image we are trying to maintain for ourselves. The Devil himself is God's Shadow, a projection of all the negative and rejected potential of the Supreme Being.

Marriage "represents the hero's total mastery of life," a balanced marriage between the hero and life itself.

Therefore the Ordeal may be a crisis in which the hero is joined with the repressed feminine or masculine side in a Sacred Marriage. But there may also be a Sacred Breakup! Open, deadly war may be declared by the dueling male and female sides.

THE LOVE THAT KILLS

Campbell touches on this destructive conflict in "The Woman as Temptress." The title is perhaps misleading — as with "The Meeting with the Goddess," the energy of this moment could be male or female. This Ordeal possibility takes the hero to a junction of betrayal, abandonment, or disappointment. It's a crisis of faith in the arena of love.

Every archetype has both a bright, positive side and a dark, negative side. The dark side of love is the mask of hate, recrimination, outrage, and rejection. This is the face of Medea as she kills her own children, the mask of Medusa herself, ringed with poison snakes of blame and guilt.

A crisis may come when a shapeshifting lover suddenly shows another side, leaving the hero feeling bitterly betrayed and dead to the idea of love. This is a favorite Hitchcock device. After a tender love scene in *North by Northwest*, Cary Grant's character is betrayed to the spies by Eva Marie Saint. Grant goes into his mid-movie Ordeal feeling abandoned by her. The possibility of true love that she represented now seems dead, and it makes his Ordeal, in which he's almost gunned down by a crop-dusting plane in a cornfield, all the more lonely.

NEGATIVE ANIMUS OR ANIMA

Sometimes in the journey of our lives we confront negative projections of the anima or animus. This can be a person who attracts us but isn't good for us, or a bitchy or bastardly part of ourselves that suddenly asserts itself like Mr. Hyde taking over from Dr. Jekyll. Such a confrontation can be a life-threatening Ordeal in a relationship or in a person's development. The hero of *Fatal Attraction* finds that a casual lover can turn into a lethal force if crossed or rejected. An ideal partner can turn into the Boston Strangler or a loving father can become a killer as in *The Shining*.

Stage Nine: Reward

"We came, we saw, we kicked its ass."

— from *Ghostbusters*, screenplay by
Dan Aykroyd and Harold Ramis

With the crisis of the Ordeal passed, heroes now experience the consequences of surviving death. With the dragon that dwelt in the Inmost Cave slain or vanquished, they seize the sword of victory and lay claim to their **Reward.** Triumph may be fleeting but for now they savor its pleasures.

We Seekers look at one another with growing smiles. We've won the right to be called heroes. For the sake of the Home Tribe we faced death, tasted it, and yet lived. From the depths of terror we suddenly shoot up to victory. It's time to fill our empty bellies and raise our voices around the campfire to sing of our deeds. Old wounds and grievances are forgotten. The story of our journey is already being woven.

You pull apart from the rest, strangely quiet. In the leaping shadows you remember those who didn't make it, and you notice something. You're different. You've changed. Part of you has died and something new has been born. You and the world will never seem the same. This too is part of the Reward for facing death.

Stage Ten: The Road Back

"Easy is the descent to the Lower World; but, to retrace your steps and to escape to the upper air — this is the task, this the toil."
— The Sibyl to Aeneas in *The Aeneid*

nce the lessons and Rewards of the great Ordeal have been celebrated and absorbed, heroes face a choice: whether to remain in the Special World or begin the journey home to the Ordinary World. Although the Special World may have its charms, few heroes elect to stay. Most take **The Road Back**, returning to the starting point or continuing on the journey to a totally new locale or ultimate destination.

This is a time when the story's energy, which may have ebbed a little in the quiet moments of Seizing the Sword, is now revved up again. If we look at the Hero's Journey as a circle with the beginning at the top, we are still down in the basement and it will take some push to get us back up into the light.

Wake up, Seekers! Shake off the effects of our feast and celebration and remember why we came out here in the first place! People back home are starving and it's urgent, now that we've recovered from the ordeal, to load up our backpacks with food and treasure and head for home. Besides, there's no telling what dangers still lurk on the edge of the hunting grounds. You pause at the edge of camp to look back. They'll never believe this back home. How to tell them? Something bright on the ground catches your eye. You bend to pick it up — a beautiful smooth stone with an inner glow. Suddenly a dark shape darts out at you, all fangs. Run! Run for your life!

Stage Eleven: THE RESURRECTION

"What can I do, old man? I'm dead, aren't I?"

— from *The Third Man* by Graham Greene

ow comes one of the trickiest and most challenging passages for the hero and the writer. For a story to feel complete, the audience needs to experience an additional moment of death and rebirth, similar to the Supreme Ordeal but subtly different. This is the **climax** (not the crisis), the last and most dangerous meeting with death. Heroes have to undergo a final purging and purification before reentering the Ordinary World. Once more they must change. The trick for writers is to show the change in their characters, by behavior or appearance rather than by just talking about it. Writers must find ways to demonstrate that their heroes have been through a **Resurrection.**

We weary Seekers shuffle back towards the village. Look! The smoke of the Home Tribe fires! Pick up the pace! But wait — the shaman appears to stop us from charging back in. You have been to the land of Death, he says, and you look like death itself, covered in blood, carrying the torn flesh and hide of your game. If you march back into the village without purifying and cleansing yourselves, you may bring death back with you. You must undergo one final sacrifice before rejoining the tribe. Your warrior self must die so you can be reborn as an innocent into the group. The trick is to keep the wisdom of the Ordeal, while getting rid of its bad effects. After all we've been through, fellow Seekers, we must face one more trial, maybe the hardest one yet.

STAGE TWELVE:
RETURN WITH THE ELIXIR

"No, Aunt Em, this was a real truly live place. And I remember some of it wasn't very nice. But most of it was beautiful. But just the same all I kept saying to everybody was 'I want to go home.'"

— from *The Wizard of Oz*

Having survived all the ordeals, having lived through death, heroes return to their starting place, go home, or continue the journey. But they always proceed with a sense that they are commencing a new life, one that will be forever different because of the road just traveled. If they are true heroes, they **Return with the Elixir** from the Special World; bringing something to share with others, or something with the power to heal a wounded land.

We Seekers come home at last, purged, purified, and bearing the fruits of our journey. We share out the nourishment and treasure among the Home Tribe, with many a good story about how they were won. A circle has been closed, you can feel it. You can see that our struggles on the Road of Heroes have brought new life to our land. There will be other adventures, but this one is complete, and as it ends it brings deep healing, wellness, and wholeness to our world. The Seekers have come Home.

M. H. Abrams
Geoffrey Galt Harpham

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Tenth Edition

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aphorism (ăf′ ŏrism): **111**.

apocrypha (ăpŏk′ rĭfa): **41**.

apologue: 9.

aporia (ăpŏ′ rēa): **80**.

apostrophe (apŏs′ trŏf ē): **345**.

apothegm (ăp′ othĕm): **111**.

applied criticism: 68.

appropriation (in reading): **247**.

Arcadia (arkā′ dia): **268**.

archaism: The literary use of words and expressions that have become obsolete in the common speech of an era. Spenser in *The Faerie Queene* (1590–96) deliberately employed archaisms (many of them derived from Chaucer's medieval English) in order to achieve a poetic style appropriate to his revival of the medieval *chivalric romance*. The translators of the King James Version of the Bible (1611) gave weight, dignity, and sonority to their prose by a sustained use of archaic revivals. Both Spenser and the King James Bible have in their turn been major sources of archaisms for Milton and many later authors. When Keats, for example, in his ode (1820) described the Grecian urn as "with *brede* / Of marble men and maidens *overwrought*," he used archaic words for "braid" and "worked [that is, ornamented] all over." Abraham Lincoln achieved a ritual solemnity by biblical archaisms in his "Gettysburg Address," which begins, "Fourscore and seven years ago."

Archaism has been a standard resort for *poetic diction*. Through the nineteenth century, for example, many poets continued to use "I ween," "methought," "steed," "taper" (for candle), and "morn," but only in their verses, not their everyday speech.

archetypal criticism: In literary criticism the term **archetype** denotes narrative designs, patterns of action, character types, themes, and images which recur in a wide variety of works of literature, as well as in myths, dreams, and even social rituals. Such recurrent items are often claimed to be the result of elemental and universal patterns in the human psyche, whose effective embodiment in a literary work evokes a profound response from the attentive reader, because he or she shares the psychic archetypes expressed by the author. An important antecedent of the literary theory of the archetype was the treatment of myth by a group of comparative anthropologists at Cambridge University, especially James G. Frazer, whose The *Golden Bough* (1890–1915) identified

who wrote a lively book entitled *Characters*. This literary form had a great vogue in the early seventeenth century; the books of characters then written by Joseph Hall, Sir Thomas Overbury, and John Earle influenced later writers of essays, history, and fiction. The titles of some of Overbury's sketches will indicate the nature of the form: "A Courtier," "A Wise Man," "A Fair and Happy Milkmaid." See Richard Aldington's anthology *A Book of "Characters"* (1924).

2. **Characters** are the persons represented in a dramatic or narrative work, who are interpreted by the reader as possessing particular moral, intellectual, and emotional qualities by inferences from what the persons say and their distinctive ways of saying it—the **dialogue**—and from what they do—the **action**. The grounds in the characters' temperament, desires, and moral nature for their speech and actions are called their **motivation**. A character may remain essentially "stable," or unchanged in outlook and disposition, from beginning to end of a work (Prospero in Shakespeare's *The Tempest*, Micawber in Charles Dickens' *David Copperfield*, 1849–50), or may undergo a radical change, either through a gradual process of development (the title character in Jane Austen's *Emma*, 1816) or as the result of a crisis (Shakespeare's *King Lear*, Pip in Dickens' *Great Expectations*). Whether a character remains stable or changes, the reader of a traditional and realistic work expects "consistency"—the character should not suddenly break off and act in a way not plausibly grounded in his or her temperament as we have already come to know it.

E. M. Forster, in *Aspects of the Novel* (1927), introduced new terms for an old distinction by discriminating between flat and round characters. A **flat character** (also called a **type**, or "two-dimensional"), Forster says, is built around "a single idea or quality" and is presented without much individualizing detail, and therefore can be described adequately in a single phrase or sentence. A **round character** is complex in temperament and motivation and is represented with subtle particularity; such a character therefore is as difficult to describe with any adequacy as a person in real life, and like real persons, is capable of surprising us. A *humours character*, such as Ben Jonson's "Sir Epicure Mammon," is a flat character who has a name which says it all, in contrast to the roundness of character in Shakespeare's multifaceted Falstaff. Almost all dramas and narratives, properly enough, have some characters who serve merely as functionaries and are not characterized at all, as well as other characters who are left relatively flat: there is no need, in Shakespeare's *Henry IV, Part I*, for Mistress Quickly to be as globular as Falstaff. The degree to which, to be regarded as artistically successful, characters need to be three-dimensional depends on their function in the plot; in many types of narrative, such as the *detective story* or adventure novel or *farce* comedy, even the protagonist is usually two-dimensional. Sherlock Holmes and Long John Silver do not require, for their excellent literary roles, the roundness of a Hamlet, a Becky Sharp, or a Jay Gatsby. In his *Anatomy of Criticism* (1957), Northrop Frye has proposed that even lifelike characters are identifiable variants, more or less individualized, of stock two-dimensional types in old literary genres,

in Literature (1987), and the expansion of Jakobson's basic distinction between the horizontal and vertical dimensions of language in David Lodge, *The Modes of Modern Writing: Metaphor, Metonymy, and the Typology of Modern Literature* (1977).

Issues of gender and language are addressed in Barrie Thorne, Cheris Kramerae, and Nancy Henley, eds., *Language, Gender, and Society* (1983); Dale Spender, *Man Made Language* (2d ed., 1985); Joyce Penfield, ed., *Women and Language in Transition* (1987); Deborah Cameron, *Feminism and Linguistic Theory* (2d ed., 1992); Sally Johnson and Ulrike Hanna Meinhof, eds., *Language and Masculinity* (1997). (Refer to *feminist criticism* and *gender criticism*.) For references to *linguistics* in other entries, see page *358*.

literal meaning: 130; *79*, *212*.

literariness: 139.

literary ballad: 24.

literary canon: 41.

literary criticism: 67.

literature (from the Latin *litteraturae*, "writings"): Literature has been commonly used since the eighteenth century, equivalently with the French *belles lettres* ("fine letters"), to designate fictional and imaginative writings—poetry, prose fiction, and drama. (See *genres*.) In an expanded use, it designates also any other writings (including philosophy, history, and even scientific works addressed to a general audience) that are especially distinguished in form, expression, and emotional power. It is in this larger sense of the term that we call "literary" the philosophical writings of Plato and William James, the historical writings of Edward Gibbon, the scientific essays of Thomas Henry Huxley, and the psychoanalytic lectures of Sigmund Freud, and include them in the reading lists of some courses in literature. Confusingly, however, "literature" is sometimes applied also, in a sense close to the Latin original, to all written works, whatever their kind or quality. This all-inclusive use is especially frequent with reference to the sum of works that deal with a particular subject matter. At a major American university that includes a College of Agriculture, the Chairman of the Division of Literature once received this letter: "Dear Sir, Kindly send me all your literature concerning the use of cow manure as a fertilizer."

In its application to imaginative writing, "literature" has an evaluative as well as descriptive function, so that its proper use has become a matter of contention. Modern critical movements, aiming to correct what are seen as historical injustices, stress the strong but covert role played by gender, race, and class in establishing what has, in various eras, been accounted as literature, or in forming the ostensibly timeless criteria of great and *canonical* literature, or

new philology: 194.

new philosophy: 340.

new pragmatism: 314.

new science, the: 341.

New York Intellectuals: 277.

New York Poets: 277.

Noble Savage: 316.

nonfiction novel: 257.

nonperiodic sentence: 385.

nonsense verses: 192.

nouveau roman (noovō′ rōmän′): **258**.

novel: The term "novel" is applied to a great variety of writings that have in common only the attribute of being extended works of *fiction* written in prose. As an extended narrative, the novel is distinguished from the *short story* and from the work of middle length called the *novelette*; its magnitude permits a greater variety of characters, greater complication of plot (or plots), ampler development of milieu, and more sustained exploration of character and motives than do the shorter, more concentrated modes. As a narrative written in prose, the novel is distinguished from the long narratives in verse of Geoffrey Chaucer, Edmund Spenser, and John Milton which, beginning with the eighteenth century, the novel has increasingly supplanted. Within these limits the novel includes such diverse works as Samuel Richardson's *Pamela* and Laurence Sterne's *Tristram Shandy*; Jane Austen's *Emma* and Virginia Woolf's *Orlando*; Charles Dickens' *Pickwick Papers* and Henry James' *The Wings of the Dove*; Leo Tolstoy's *War and Peace* and Franz Kafka's *The Trial*; Ernest Hemingway's *The Sun Also Rises* and James Joyce's *Finnegans Wake*; Doris Lessing's *The Golden Notebook* and Vladimir Nabokov's *Lolita*.

The term for the novel in most European languages is **roman**, which is derived from the medieval term, the *romance*. The English name for the form, on the other hand, is derived from the Italian **novella** (literally, "a little new thing"), which was a short tale in prose. In fourteenth-century Italy there was a vogue for collections of such tales, some serious and some scandalous; the best known of these collections is Boccaccio's *Decameron*, which is still available in English translation at any well-stocked bookstore. Currently the term "novella" (or in the German form, *Novelle*) is often used as an equivalent for

Highly elaborated versions of this conception of Platonic love are to be found in Dante, Petrarch, and other writers of the thirteenth and fourteenth centuries, and in many Italian, French, and English authors of sonnets and other love poems during the Renaissance. See, for example, the exposition in Book IV of Castiglione's *The Courtier* (1528), and in Edmund Spenser's "An Hymn in Honor of Beauty." As Spenser wrote in one of the sonnets he called *Amoretti* (1595):

> Men call you fayre, and you doe credit it....
> But only that is permanent and free
> From frayle corruption, that doth flesh ensew.
> That is true beautie: that doth argue you
> To be divine and borne of heavenly seed:
> Derived from that fayre spirit, from whom al true
> And perfect beauty did at first proceed.

From this complex religious and philosophical doctrine, the modern notion that Platonic love is simply love that stops short of sexual gratification is a drastic reduction.

The concept of Platonic love fascinated many later poets, especially Shelley; an example is his poem "Epipsychidion" (1821). But his friend Byron took a skeptical view of such lofty claims for the human Eros-impulse. "Oh Plato! Plato!" Byron sighed,

> you have paved the way,
> With your confounded fantasies, to more
> Immoral conduct by the fancied sway
> Your system feigns o'er the controlless core
> Of human hearts, than all the long array
> Of poets and romancers....

(*Don Juan*, I. cxvi)

See Plato's *Symposium* and *Phaedrus*, and the exposition of Plato's doctrine of Eros (which Plato applied to male/male relationships) in G. M. A. Grube, *Plato's Thought* (1935), chapter 3. For a cognitive and moral assessment of Plato's doctrines of love and desire, see Martha Craven Nussbaum, *Love's Knowledge: Essays on Philosophy and Literature* (1990), especially chapter 3. Refer to Paul Shorey, *Platonism Ancient and Modern* (1938); George Santayana, "Platonic Love in Some Italian Poets," in *Selected Critical Writings*, ed. Norman Henfrey (2 vols., 1968), I, pp. 41–59. See *courtly love*.

play (drama): **93**.

plot: The plot (which Aristotle termed the **mythos**) in a dramatic or narrative work is constituted by its events and actions, as these are rendered and ordered toward achieving particular artistic and emotional effects. This description is deceptively simple, because the actions (including verbal discourse as well as physical actions) are performed by particular characters in a work,

that varieties of poetic license are used to freshen our perceptions both of literary language and of the world it represents, see Victor Erlich, *Russian Formalism* (1965).

poetry happenings: 271.

poetry slam: 271.

point of view: Point of view signifies the way a story gets told—the mode (or modes) established by an author by means of which the reader is presented with the characters, dialogue, actions, setting, and events which constitute the *narrative* in a work of fiction. The question of point of view has always been a practical concern of the novelist, and there have been scattered observations on the matter in critical writings since the emergence of the modern *novel* in the eighteenth century. Henry James' prefaces to his various novels, however—collected as *The Art of the Novel* in 1934—and Percy Lubbock's *The Craft of Fiction* (1926), which codified and expanded upon James' comments, made point of view one of the most prominent and persistent concerns in modern treatments of the art of prose fiction.

Authors have developed many different ways to present a story, and many single works exhibit a diversity of methods. The simplified classification below, however, is widely recognized and can serve as a preliminary frame of reference for analyzing traditional types of narration and for determining the predominant type in mixed narrative modes. It deals first with by far the most widely used modes, first-person and third-person narration. It establishes a broad distinction between these two modes, then divides third-person narratives into subclasses according to the degree and kind of freedom or limitation which the author assumes in getting the story across to the reader. It then goes on to deal briefly with the rarely used mode of second-person narration.

In a **third-person narrative**, the **narrator** is someone outside the story proper who refers to all the characters in the story by name, or as "he," "she," "they." Thus Jane Austen's *Emma* begins: "Emma Woodhouse, handsome, clever, and rich, with a comfortable home and happy disposition, seemed to unite some of the best blessings of existence; and had lived nearly twenty-one years in the world with very little to distress or vex her." In a **first-person narrative**, the narrator speaks as "I," and is to a greater or lesser degree a participant in the story, or else is the *protagonist* of the story. J. D. Salinger's *The Catcher in the Rye* (1951), an instance of the latter type, begins: "If you really want to hear about it, the first thing you'll really want to know is where I was born, and what my lousy childhood was like, and how my parents were occupied and all before they had me, and all that David Copperfield kind of crap…."

I. **Third-person points of view**

A. **The omniscient point of view.** This is a common term for the many and varied works of fiction written in accord with the *convention* that the narrator knows everything that needs to be known

sentimental comedy: 361.

sentimental novel: 361.

sentimentalism: Sentimentalism is now a derogatory term applied to what is perceived to be an excess of emotion to an occasion, and especially to an overindulgence in the "tender" emotions of pathos and sympathy. Since what constitutes emotional excess or overindulgence is relative both to the judgment of the individual and to large-scale historical changes in culture and in literary fashion, what to the common reader of one age is a normal and laudable expression of humane feeling may seem sentimental to many later readers. The emotional responses of a lover that Shelley expresses and tries to evoke from the reader in his "Epipsychidion" (1821) seemed sentimental to the *New Critics* of the 1930s and later, who insisted on the need for an ironic counterpoise to intense feeling in poetry. Most readers now find both the *drama of sensibility* and the *novel of sensibility* of the eighteenth century ludicrously sentimental, and respond with jeers instead of tears to once celebrated episodes of pathos, such as many of the death scenes, especially those of children, in some Victorian novels and dramas. A staple in current anthologies of bad poetry are sentimental poems which were doubtless written, and by some people read, with deep and sincere feeling. A useful distinction between sentimental and nonsentimental is one which does not depend on the intensity and type of the feeling expressed or evoked, but labels as sentimental a work or passage in which the feeling is rendered in commonplaces and *clichés*, instead of being freshly verbalized and sharply realized in the details of the representation.

See *pathos*, and *sensibility, literature of*, and refer to I. A. Richards, *Practical Criticism* (1929), chapter 6; and the discussion of sentimentality by Monroe C. Beardsley, "Bad Poetry," in *The Possibility of Criticism* (1970). Suzanne Clark has written a *feminist* reconsideration of sentimentalism in literature, *Sentimental Modernism and the Revolution of the Word* (1991), and Shirley Samuels has edited a collection of essays on *Culture of Sentiment: Race, Gender, and Sentimentality in Nineteenth-Century America* (1992).

sequential art: 152.

sestet: 370.

sestina (sĕstē′ na): **378**.

setting: The overall setting of a narrative or dramatic work is the general locale, historical time, and social circumstances in which its action occurs; the setting of a single episode or scene within the work is the particular physical location in which it takes place. The overall setting of *Macbeth*, for example, is medieval Scotland, and the setting for the particular scene in which Macbeth comes upon the witches is a blasted heath. The overall setting of James Joyce's *Ulysses* is Dublin on June 16, 1904, and its opening episode is set in the

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THE HERO WITH A THOUSAND FACES

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consists in a radical transfer of emphasis from the external to the internal world, macro- to microcosm, a retreat from the desperations of the waste land to the peace of the everlasting realm that is within. But this realm, as we know from psychoanalysis, is precisely the infantile unconscious. It is the realm that we enter in sleep. We carry it within ourselves forever. All the ogres and secret helpers of our nursery are there, all the magic of childhood. And more important, all the life-potentialities that we never managed to bring to adult realization, those other portions of ourself, are there; for such golden seeds do not die. If only a portion of that lost totality could be dredged up into the light of day, we should experience a marvelous expansion of our powers, a vivid renewal of life. We should tower in stature. Moreover, if we could dredge up something forgotten not only by ourselves but by our whole generation or our entire civilization, we should become indeed the boon-bringer, the culture hero of the day — a personage of not only local but world historical moment. In a word: the first work of the hero is to retreat from the world scene of secondary effects to those causal zones of the psyche where the difficulties really reside, and there to clarify the difficulties, eradicate them in his own case (i.e., give battle to the nursery demons of his local culture) and break through to the undistorted, direct experience and assimilation of what C.G. Jung has called "the archetypal images."[17] This is the process known to Hindu and Buddhist philosophy as *viveka*, "discrimination."

The archetypes to be discovered and assimilated are precisely those that have inspired, throughout the annals of human culture, the basic images of ritual, mythology, and vision. These "Eternal Ones of the Dream"[25] are not to be confused with the personally modified symbolic figures that appear in nightmare and madness to the still tormented individual. Dream is the personalized myth, myth the depersonalized dream; both myth and dream are symbolic in the same general way of the dynamics of the psyche. But in the dream the forms are quirked by the peculiar troubles of the dreamer, whereas in myth the problems and solutions shown are directly valid for all mankind.

As Dr. Jung points out, the theory of the archetypes is by no means his own invention.[18]

Compare Nietzsche: "In our sleep and in our dreams we pass through the whole thought of earlier humanity. I mean, in the same way that man reasons in his dreams, he reasoned when in the waking state many thousands of years....The dream carries us back into earlier states of human culture, and affords us a means of understanding it better."[19]

Compare Adolf Bastian's theory of the ethnic "Elementary Ideas" (Elementargedanken), which, in their primal psychic character (corresponding to the Stoic Logoi spermatikoi), should be regarded as "the spiritual (or psychic) germinal

Figure 4. Minotauromachy (red-figure krater, Greece, c. 470 B.C.)

The hero, therefore, is the man or woman who has been able to battle past his personal and local historical limitations to the generally valid, normally human forms. Such a one's visions, ideas, and inspirations come pristine from the primary springs of human life and thought. Hence they are eloquent, not of the present, disintegrating society and psyche, but of the unquenched source through which society is reborn. The hero has died as a modern man; but as eternal man — perfected, unspecific, universal man — he has been reborn. His second solemn task and deed therefore (as Toynbee declares and as all the mythologies of mankind indicate) is to return then to us, transfigured, and teach the lesson he has learned of life renewed.

It must be noted against Professor Toynbee, however, that he seriously misrepresents the mythological scene when he advertises Christianity as the only religion teaching this second task. *All* religions teach it, as do all mythologies and folk traditions everywhere. Professor Toynbee arrives at his misconstruction by way of a trite and incorrect interpretation of the Oriental ideas of *nirvāṇa*, Buddha, and Bodhisattva; then contrasting these ideals, as he misinterprets them, with a very sophisticated rereading of the Christian idea of the City of God. This is what leads him to the error of supposing that the salvation of the present world-situation might lie in a return to the arms of the Roman Catholic church.

"I was walking alone around the upper end of a large city, through slummy,

CHAPTER I

Departure

1. The Call to Adventure

Long long ago, when wishing still could lead to something, there lived a king whose daughters all were beautiful, but the youngest was so beautiful that the sun itself, who had seen so many things, simply marveled every time it shone on her face. Now close to the castle of this king was a great dark forest, and in the forest under an old lime tree a spring, and when the day was very hot, the king's child would go out into the wood and sit on the edge of the cool spring. And to pass the time she would take a golden ball, toss it up and catch it; and this was her favorite plaything.

Now it so happened one day that the golden ball of the princess did not fall into the little hand lifted into the air, but passed it, bounced on the ground, and rolled directly into the water. The princess followed it with her eyes, but the ball disappeared; and the spring was deep, so deep that the bottom could not be seen. Thereupon she began to cry, and her crying became louder and louder, and she was unable to find consolation. And while she was lamenting in this way, she heard someone call to her: "What is the matter, Princess? You are crying so hard, a stone would be forced to pity you." She looked around to see where the voice had come from, and there she beheld a frog, holding its fat, ugly head out of the water. "Oh, it's you, old Water Plopper," she said. "I am crying over my golden ball, which has fallen into the spring." "Be calm; don't cry," answered the frog. "I can surely be of assistance. But what will you give me if I fetch your toy for you?" "Whatever you would like to have, dear frog," she said; "my clothes, my pearls and jewels, even the golden crown that I wear." The frog replied, "Your clothes, your pearls and jewels, and your golden crown, I do not want; but if you will care for me and let me be your companion and playmate, let me sit beside you at your little table, eat from your little golden plate, drink from your little cup, sleep in your little bed: if you will promise me that, I will go straight down and fetch your golden ball." "All right," she said. "I promise you anything you want, if you will only bring me back the ball." But she thought: "How that simple frog chatters! There he sits in the water with his own kind, and could never be the companion of a human being."

As soon as the frog had obtained her promise, he ducked his head and sank, and after a little while came swimming up again; he had the ball in his mouth, and tossed it on the grass. The princess was elated when she saw her pretty toy. She picked it up and scampered away. "Wait, wait," called the frog, "take me along; I can't run like you." But what good did it do,

The second is the dream of a young girl whose girl companion has lately died of consumption; she is afraid that she may have the disease herself.

"I was in a blossoming garden; the sun was just going down with a blood-red glow. Then there appeared before me a black, noble knight, who spoke to me with a very serious, deep and frightening voice: 'Wilt thou go with me?' Without attending my answer, he took me by the hand, and carried me away."[8]

Whether dream or myth, in these adventures there is an atmosphere of irresistible fascination about the figure that appears suddenly as guide, marking a new period, a new stage, in the biography. That which has to be faced, and is somehow profoundly familiar to the unconscious — though unknown, surprising, and even frightening to the conscious personality — makes itself known; and what formerly was meaningful may become strangely emptied of value: like the world of the king's child, with the sudden disappearance into the well of the golden ball. Thereafter, even though the hero returns for a while to his familiar occupations, they may be found unfruitful. A series of signs of increasing force then will become visible, until — as in the following legend of "The Four Signs," which is the most celebrated example of the call to adventure in the literature of the world — the summons can no longer be denied.

The young prince Gautama Śākyamūni, the Future Buddha, had been protected by his father from all knowledge of age, sickness, death, or monkhood, lest he should be moved to thoughts of life renunciation; for it had been prophesied at his birth that he was to become either a world emperor or a Buddha. The king — prejudiced in favor of the royal vocation — provided his son with three palaces and forty thousand dancing girls to keep his mind attached to the world. But these only served to advance the inevitable; for while still relatively young, the youth exhausted for himself the fields of fleshly joy and became ripe for the other experience. The moment he was ready, the proper heralds automatically appeared:

> Now on a certain day the Future Buddha wished to go to the park, and told his charioteer to make ready the chariot. Accordingly the man brought out a sumptuous and elegant chariot, and, adorning it richly, he harnessed to it four state horses of the Sindhava breed, as white as the petals of the white lotus, and announced to the Future Buddha that everything was ready. And the Future Buddha mounted the chariot, which was like to a palace of the gods, and proceeded toward the park.
>
> "The time for the enlightenment of the prince Siddhartha draweth nigh," thought the gods; "we must show him a sign": and they changed one of their number into a decrepit old man, broken-toothed, gray-haired, crooked and bent of body, leaning on a staff, and trembling, and showed him to the Future Buddha, but so that only he and the charioteer saw him.
>
> Then said the Future Buddha to the charioteer, "Friend, pray, who is this man? Even his hair is not like that of other men." And when he heard the answer, he said, "Shame on birth, since

to every one that is born old age must come." And agitated in heart, he thereupon returned and ascended his palace.

"Why has my son returned so quickly?" asked the king.

"Sire, he has seen an old man," was the reply; "and because he has seen an old man, he is about to retire from the world."

"Do you want to kill me, that you say such things? Quickly get ready some plays to be performed before my son. If we can but get him to enjoying pleasure, he will cease to think of retiring from the world." Then the king extended the guard to half a league in each direction.

Again on a certain day, as the Future Buddha was going to the park, he saw a diseased man whom the gods had fashioned; and having again made inquiry, he returned, agitated in heart, and ascended his palace.

And the king made the same inquiry and gave the same order as before; and again extending the guard, placed them for three quarters of a league around.

And again on a certain day, as the Future Buddha was going to the park, he saw a dead man whom the gods had fashioned; and having again made inquiry, he returned, agitated in heart, and ascended his palace.

And the king made the same inquiry and gave the same orders as before; and again extending the guard placed them for a league around.

And again on a certain day, as the Future Buddha was going to the park, he saw a monk, carefully and decently clad, whom the gods had fashioned; and he asked his charioteer, "Pray, who is this man?" "Sire, this is one who has retired from the world"; and the charioteer thereupon proceeded to sound the praises of retirement from the world. The thought of retiring from the world was a pleasing one to the Future Buddha.[9]

This first stage of the mythological journey — which we have designated the "call to adventure" — signifies that destiny has summoned the hero and transferred his spiritual center of gravity from within the pale of his society to a zone unknown. This fateful region of both treasure and danger may be variously represented: as a distant land, a forest, a kingdom underground, beneath the waves, or above the sky, a secret island, lofty mountaintop, or profound dream state; but it is always a place of strangely fluid and polymorphous beings, unimaginable torments, superhuman deeds, and impossible delight. The hero can go forth of his own volition to accomplish the adventure, as did Theseus when he arrived in his father's city, Athens, and heard the horrible history of the Minotaur; or he may be carried or sent abroad by some benign or malignant agent, as was Odysseus, driven about the Mediterranean by the winds of the angered god Poseidon. The adventure may begin as a mere blunder, as did that of the princess of the fairy tale; or still again, one may be only casually strolling, when some passing phenomenon catches the wandering eye and lures one away from the frequented paths of man. Examples might be multiplied, ad infinitum,

from every corner of the world.

> In the above section, and throughout the following pages, I have made no attempt to exhaust the evidence. To have done so (after the manner, for example, of Frazer, in *The Golden Bough*) would have enlarged my chapters prodigiously without making the main line of the monomyth any clearer. Instead, I am giving in each section a few striking examples from a number of widely scattered, representative traditions. During the course of the work I shift my sources gradually, so that the reader may savor the peculiar qualities of the various styles. By the time he comes to the last page, he will have reviewed an immense number of mythologies. Should he wish to prove whether all might have been cited for every section of the monomyth, he need only turn to some of the source volumes enumerated in the bibliography and ramble through a few of the multitude of tales.

2. Refusal of the Call

Often in actual life, and not infrequently in the myths and popular tales, we encounter the dull case of the call unanswered; for it is always possible to turn the ear to other interests. Refusal of the summons converts the adventure into its negative. Walled in boredom, hard work, or "culture," the subject loses the power of significant affirmative action and becomes a victim to be saved. His flowering world becomes a wasteland of dry stones and his life feels meaningless — even though, like King Minos, he may through titanic effort succeed in building an empire of renown. Whatever house he builds, it will be a house of death: a labyrinth of cyclopean walls to hide from him his Minotaur. All he can do is create new problems for himself and await the gradual approach of his disintegration.

"Because I have called, and ye refused...I also will laugh at your calamity; I will mock when your fear cometh; when your fear cometh as desolation, and your destruction cometh as a whirlwind; when distress and anguish cometh upon you....For the turning away of the simple shall slay them, and the prosperity of fools shall destroy them."[10]

Time Jesum transeuntem et non revertentem: "Dread the passage of Jesus, for he does not return."[11]

The myths and folktales of the whole world make clear that the refusal is essentially a refusal to give up what one takes to be one's own interest. The future is regarded not in terms of an unremitting series of deaths and births, but as though one's present system of ideals, virtues, goals, and advantages were to be fixed and made secure. King Minos retained the divine bull, when the sacrifice would have signified submission to the will of the god of his society; for he preferred what he conceived to be his economic advantage. Thus he failed

3. Supernatural Aid

For those who have not refused the call, the first encounter of the hero-journey is with a protective figure (often a little old crone or old man) who provides the adventurer with amulets against the dragon forces he is about to pass.

An East African tribe, for example, the Wachaga of Tanganyika, tell of a very poor man named Kyazimba, who set out in desperation for the land where the sun rises. And he had traveled long and grown tired, and was simply standing, looking hopelessly in the direction of his search, when he heard someone approaching from behind. He turned and perceived a decrepit little woman. She came up and wished to know his business. When he had told her, she wrapped her garment around him, and, soaring from the earth, transported him to the zenith, where the sun pauses in the middle of the day. Then with a mighty din a great company of men came from eastward to that place, and in the midst of them was a brilliant chieftain, who, when he had arrived, slaughtered an ox and sat down to feast with his retainers. The old woman asked his help for Kyazimba. The chieftain blessed the man and sent him home. And it is recorded that he lived in prosperity ever after.[24]

Among the American Indians of the Southwest the favorite personage in this benignant role is Spider Woman — a grandmotherly little dame who lives underground. The Twin War Gods of the Navaho on the way to the house of their father, the Sun, had hardly departed from their home, following a holy trail, when they came upon this wonderful little figure:

> The boys traveled rapidly in the holy trail, and soon after sunrise, near Dsilnaotil, saw smoke arising from the ground. They went to the place where the smoke rose, and they found it came from the smoke hole of a subterranean chamber. A ladder, black from smoke, projected through the hole. Looking down into the chamber they saw an old woman, the Spider Woman, who glanced up at them and said: “Welcome, children. Enter. Who are you, and whence do you come together walking?” They made no answer, but descended the ladder. When they reached the floor she again spoke to them, asking: “Whither do you two go walking together?” “Nowhere in particular,” they answered; “we came here because we had nowhere else to go.” She asked this question four times, and each time she received a similar answer. Then she said: “Perhaps you would seek your father?” “Yes,” they answered, “if we only knew the way to his dwelling.” “Ah!” said the woman, “it is a long and dangerous way to the house of your father, the Sun. There are many monsters dwelling between here and there, and perhaps, when you get there, your father may not be glad to see you, and may punish you for coming. You must pass four places of danger — the rocks that crush the traveler, the reeds that cut him to pieces, the cane cactuses that tear him to pieces, and the boiling sands that overwhelm him. But I shall give you something to subdue your enemies and preserve your lives.” She gave them a charm called “feather of the alien gods,” which

Figure 16. Odysseus and the Sirens (detail; polychrome-figured white lecythus, Greece, fifth century B.C.)

4. The Crossing of the First Threshold

With the personifications of his destiny to guide and aid him, the hero goes forward in his adventure until he comes to the "threshold guardian" at the entrance to the zone of magnified power. Such custodians bound the world in the four directions — also up and down — standing for the limits of the hero's present sphere, or life horizon. Beyond them is darkness, the unknown, and danger; just as beyond the parental watch is danger to the infant and beyond the protection of his society danger to the member of the tribe. The usual person is more than content, he is even proud, to remain within the indicated bounds, and popular belief gives him every reason to fear so much as the first step into the unexplored. Thus the sailors of the bold vessels of Columbus, breaking the horizon of the medieval mind — sailing, as they thought, into the boundless ocean of immortal being that surrounds the cosmos, like an endless mythological serpent biting its tail[33] — had to be cozened and urged on like children, because of their fear of the fabled leviathans, mermaids, dragon kings, and other monsters of the deep.

The folk mythologies populate with deceitful and dangerous presences

they passed between (see Figure 14).[47]

As the rising smoke of an offering through the sun door, so goes the hero, released from ego, through the walls of the world — leaving ego stuck to Sticky-hair and passing on.

5. The Belly of the Whale

The idea that the passage of the magical threshold is a transit into a sphere of rebirth is symbolized in the worldwide womb image of the belly of the whale. The hero, instead of conquering or conciliating the power of the threshold, is swallowed into the unknown, and would appear to have died.

> *Mishe-Nahma, King of Fishes,*
> *In his wrath he darted upward,*
> *Flashing leaped into the sunshine,*
> *Opened his great jaws and swallowed*
> *Both canoe and Hiawatha.* [48]

The Eskimo of Bering Strait tell of the trickster-hero Raven, how, one day, as he sat drying his clothes on a beach, he observed a whale-cow swimming gravely close to shore. He called: “Next time you come up for air, dear, open your mouth and shut your eyes.” Then he slipped quickly into his raven clothes, pulled on his raven mask, gathered his fire sticks under his arm, and flew out over the water. The whale came up. She did as she had been told. Raven darted through the open jaws and straight into her gullet. The shocked whale-cow snapped and sounded; Raven stood inside and looked around.[49]

The Zulus have a story of two children and their mother swallowed by an elephant. When the woman reached the animal’s stomach, “she saw large forests and great rivers, and many high lands; on one side there were many rocks; and there were many people who had built their village there; and many dogs and many cattle; all there inside the elephant.”[50]

The Irish hero Finn MacCool was swallowed by a monster of indefinite form, of the type known to the Celtic world as a peist. The little German girl Red Ridinghood was swallowed by a wolf. The Polynesian favorite Maui was swallowed by his great-great-grandmother, Hine-nui-te-po. And the whole Greek pantheon, with the sole exception of Zeus, was swallowed by its father, Kronos.

The Greek hero Herakles, pausing at Troy on his way homeward with the belt of the Queen of the Amazons, found that the city was being harassed by a monster sent against it by the sea-god Poseidon. The beast would come ashore

CHAPTER II

Initiation

1. The Road of Trials

Once having traversed the threshold, the hero moves in a dream landscape of curiously fluid, ambiguous forms, where he must survive a succession of trials. This is a favorite phase of the myth-adventure. It has produced a world literature of miraculous tests and ordeals. The hero is covertly aided by the advice, amulets, and secret agents of the supernatural helper whom he met before his entrance into this region. Or it may be that he here discovers for the first time that there is a benign power everywhere supporting him in his superhuman passage.

One of the best known and most charming examples of the “difficult tasks” motif is that of Psyche’s quest for her lost lover, Cupid.[1] Here all the principal roles are reversed: instead of the lover trying to win his bride, it is the bride trying to win her lover; and instead of a cruel father withholding his daughter from the lover, it is the jealous mother, Venus, hiding her son, Cupid, from his bride. When Psyche pleaded with Venus, the goddess grasped her violently by the hair and dashed her head upon the ground, then took a great quantity of wheat, barley, millet, poppy seed, peas, lentils, and beans, mingled these all together in a heap, and commanded the girl to sort them before night. Psyche was aided by an army of ants. Venus told her, next, to gather the golden wool of certain dangerous wild sheep, sharp of horn and poisonous of bite, that inhabited an inaccessible valley in a dangerous wood. But a green reed instructed her how to gather from the reeds round about the golden locks shed by the sheep in their passage. The goddess now required a bottle of water from a freezing spring high on a towering rock beset by sleepless dragons. An eagle approached, and accomplished the marvelous task. Psyche was ordered, finally, to bring from the

glimpses of the wonderful land.

2. The Meeting with the Goddess

Figure 23. Mother of the Gods (carved wood, Egba-Yoruba, Nigeria, date uncertain)

The ultimate adventure, when all the barriers and ogres have been overcome, is commonly represented as a mystical marriage (ἱερὸς γάμος) of the triumphant hero-soul with the Queen Goddess of the World. This is the crisis at the nadir, at the zenith, or at the uttermost edge of the earth, at the central point of the cosmos, in the tabernacle of the temple, or within the darkness of the deepest chamber of the heart.

In the west of Ireland they still tell the tale of the Prince of the Lonesome Isle and the Lady of Tubber Tintye. Hoping to heal the Queen of Erin, the heroic youth had undertaken to go for three bottles of the water of Tubber Tintye, the flaming fairy well. Following the advice of a supernatural aunt whom he encountered on the way, and riding a wonderful, dirty, lean little shaggy horse that she gave to him, he crossed a river of fire and escaped the touch of a grove of poison trees. The horse with the speed of the wind shot past the end of the castle of Tubber Tintye; the prince sprang from its back through an open window, and came down inside, safe and sound.

> The whole place, enormous in extent, was filled with sleeping giants and monsters of sea and land — great whales, long slippery eels, bears, and beasts of every form and kind. The prince passed through them and over them till he came to a great stairway. At the head of the stairway he went into a chamber, where he found the most beautiful woman he had ever seen, stretched on a couch asleep. “I’ll have nothing to say to you,” thought he, and went on to the next; and so he looked into twelve chambers. In each was a woman more beautiful than the one before. But when he reached the thirteenth chamber and opened the door, the flash of gold took the sight from his eyes. He stood awhile till the sight came back, and then entered. In the great bright chamber was a golden couch, resting on wheels of gold. The wheels turned continually; the couch went round and round, never stopping night or day. On the couch lay the Queen of Tubber Tintye; and if her twelve maidens were beautiful, they would not be beautiful if seen near her. At the foot of the couch was Tubber Tintye itself — the well of fire. There was a golden cover upon the well, and it went around continually with

his flank, he tried to cry their names, but the sound in his throat was not human. They fixed him with their fangs. He went down, and his own hunting companions, shouting encouragement at the dogs, arrived in time to deliver the *coup de grâce*. Diana, miraculously aware of the flight and death, could now rest appeased.[28]

The mythological figure of the Universal Mother imputes to the cosmos the feminine attributes of the first, nourishing and protecting presence. The fantasy is primarily spontaneous; for there exists a close and obvious correspondence between the attitude of the young child toward its mother and that of the adult toward the surrounding material world.[29] But there has been also, in numerous religious traditions, a consciously controlled pedagogical utilization of this archetypal image for the purpose of the purging, balancing, and initiation of the mind into the nature of the visible world.

In the Tantric books of medieval and modern India the abode of the goddess is called Mani-dvipa, "The Island of Jewels." Her couch-and-throne is there, in a grove of wish-fulfilling trees. The beaches of the isle are of golden sands. They are laved by the still waters of the ocean of the nectar of immortality. The goddess is red with the fire of life; the earth, the solar system, the galaxies of far-extending space, all swell within her womb. For she is the world creatrix, ever mother, ever virgin. She encompasses the encompassing, nourishes the nourishing, and is the life of everything that lives.

She is also the death of everything that dies. The whole round of existence is accomplished within her sway, from birth, through adolescence, maturity, and senescence, to the grave. She is the womb and the tomb: the sow that eats her farrow. Thus she unites the "good" and the "bad," exhibiting the two modes of the remembered

The sacred writings (Śastras) of Hinduism are divided into four classes: (1) Śruti, which are regarded as direct divine revelation; these include the four Vedas (ancient books of psalms) and certain of the Upaniṣads (ancient books of philosophy); (2) Smṛti, which include the traditional teachings of the orthodox sages, canonical instructions for domestic ceremonials, and certain works of secular and religious law, as well as the great Hindu epic, the Mahābhārata, which of course includes the Bhagavad Gītā; (3) Purāṇa, which are the Hindu mythological and epic works par excellence; these treat of cosmogonic, theological, astronomical, and physical knowledge; and (4) Tantra, texts describing techniques and rituals for the worship of deities, and for the attainment of supranormal power. Among the Tantras are a group of particularly important scriptures (called Āgamas) which are supposed to have been revealed directly by the Universal God Śiva and his Goddess Pārvatī. (They are termed, therefore,

3. Woman as the Temptress

The mystical marriage with the queen goddess of the world represents the hero's total mastery of life; for the woman is life, the hero its knower and master. And the testings of the hero, which were preliminary to his ultimate experience and deed, were symbolical of those crises of realization by means of which his consciousness came to be amplified and made capable of enduring the full possession of the mother-destroyer, his inevitable bride. With that he knows that he and the father are one: he is in the father's place.

Thus phrased, in extremest terms, the problem may sound remote from the affairs of normal human creatures. Nevertheless, every failure to cope with a life situation must be laid, in the end, to a restriction of consciousness. Wars and temper tantrums are the makeshifts of ignorance; regrets are illuminations come too late. The whole sense of the ubiquitous myth of the hero's passage is that it shall serve as a general pattern for men and women, wherever they may stand along the scale. Therefore it is formulated in the broadest terms. The individual has only to discover his own position with reference to this general human formula, and let it then assist him past his restricting walls. Who and where are his ogres? Those are the reflections of the unsolved enigmas of his own humanity. What are his ideals? Those are the symptoms of his grasp of life.

In the office of the modern psychoanalyst, the stages of the hero-adventure come to light again in the dreams and hallucinations of the patient. Depth beyond depth of self-ignorance is fathomed, with the analyst in the role of the helper, the initiatory priest. And always, after the first thrills of getting under way, the adventure develops into a journey of darkness, horror, disgust, and phantasmagoric fears.

The crux of the curious difficulty lies in the fact that our conscious views of what life ought to be seldom correspond to what life really is. Generally we refuse to admit within ourselves, or within our friends, the fullness of that pushing, self-protective, malodorous, carnivorous, lecherous fever which is the very nature of the organic cell. Rather, we tend to perfume, whitewash, and reinterpret; meanwhile imagining that all the flies in the ointment, all the hairs in the soup, are the faults of some unpleasant someone else.

But when it suddenly dawns on us, or is forced to our attention, that everything we think or do is necessarily tainted with the odor of the flesh, then, not uncommonly, there is experienced a moment of revulsion: life, the acts of life, the organs of life, woman in particular as the great symbol of life, become

“Life must be!” In full awareness of the life anguish of the creatures of his hand, in full consciousness of the roaring wilderness of pains, the brain-splitting fires of the deluded, self-ravaging, lustful, angry universe of his creation, this divinity acquiesces in the deed of supplying life to life. To withhold the seminal waters would be to annihilate; yet to give them forth is to create this world that we know. For the essence of time is flux, dissolution of the momentarily existent; and the essence of life is time. In his mercy, in his love for the forms of time, this demiurgic man of men yields countenance to the sea of pangs; but in his full awareness of what he is doing, the seminal waters of the life that he gives are the tears of his eyes.

The paradox of creation, the coming of the forms of time out of eternity, is the germinal secret of the father. It can never be quite explained. Therefore, in every system of theology there is an umbilical point, an Achilles tendon which the finger of mother life has touched, and where the possibility of perfect knowledge has been impaired. The problem of the hero is to pierce himself (and therewith his world) precisely through that point; to shatter and annihilate that key knot of his limited existence.

The problem of the hero going to meet the father is to open his soul beyond terror to such a degree that he will be ripe to understand how the sickening and insane tragedies of this vast and ruthless cosmos are completely validated in the majesty of Being. The hero transcends life with its peculiar blind spot and for a moment rises to a glimpse of the source. He beholds the face of the father, understands — and the two are atoned.

In the biblical story of Job, the Lord makes no attempt to justify in human or any other terms the ill pay meted out to his virtuous servant, “a simple and upright man, and fearing God, and avoiding evil.” Nor was it for any sins of their own that Job’s servants were slain by the Chaldean troops, his sons and daughters crushed by a collapsing roof. When his friends arrive to console him, they declare, with a pious faith in God’s justice, that Job must have done some evil to have deserved to be so frightfully afflicted. But the honest, courageous, horizon-searching sufferer insists that his deeds have been good; whereupon the comforter, Elihu, charges him with blasphemy, as naming himself more just than God.

When the Lord himself answers Job out of the whirlwind, He makes no attempt to vindicate His work in ethical terms, but only magnifies His Presence, bidding Job do likewise on earth in human emulation of the way of heaven:

> Gird up thy loins now like a man; I will demand of thee, and declare thou unto me. Wilt thou also disannul my judgment? Wilt thou condemn me, that thou mayst be righteous? Hast thou an arm like God? or canst thou thunder with a voice like him? Deck thyself now with

empire of the Buddha, is graciously heard. Under differing forms he traverses the ten thousand worlds, and appears in the hour of need and prayer. He reveals himself in human form with two arms, in superhuman forms with four arms, or with six, or twelve, or a thousand, and he holds in one of his left hands the lotus of the world.

Like the Buddha himself, this godlike being is a pattern of the divine state to which the human hero attains who has gone beyond the last terrors of ignorance. "When the envelopment of consciousness has been annihilated, then he becomes free of all fear, beyond the reach of change."[85] This is the release potential within us all, and which anyone can attain — through herohood; for, as we read: "All things are Buddha-things";[86] or again (and this is the other way of making the same statement): "All beings are without self."

The world is filled and illumined by, but does not hold, the Bodhisattva ("he whose being is enlightenment"); rather, it is he who holds the world, the lotus. Pain and pleasure do not enclose him, he encloses them — and with profound repose. And since he is what all of us may be, his presence, his image, the mere naming of him, helps.

Hīnayāna or Theravada Buddhism (the Buddhism surviving in Ceylon, Burma, and Thailand) reveres the Buddha as a human hero, a supreme saint and sage. Mahāyāna Buddhism, on the other hand (the Buddhism of the north), regards the Enlightened One as a world savior, an incarnation of the universal principle of enlightenment.

A Bodhisattva is a personage on the point of Buddhahood: according to the Hīnayāna view, an adept who will become a Buddha in a subsequent reincarnation; according to the Mahāyāna view (as the following paragraphs will show), a type of world savior, representing particularly the universal principle of compassion. The word *bodhisattva* (Sanskrit) means: "whose being or essence is enlightenment."

Mahāyāna Buddhism has developed a pantheon of many Bodhisattvas and many past and future Buddhas. These all inflect the manifested powers of the transcendent, one and only Ādi-Buddha ("Primal Buddha"),[87] who is the highest conceivable source and ultimate boundary of all being, suspended in the void of nonbeing like a wonderful bubble.

> He wears a garland of eight thousand rays, in which is seen fully reflected a state of perfect beauty. The color of his body is purple gold. His palms have the mixed color of five hundred lotuses, while each finger tip has eighty-four thousand signet-marks, and each mark eighty-four thousand colors; each color has eighty-four thousand rays which are soft and mild and shine over all things that exist. With these jewel hands he draws and embraces all beings. The halo surrounding his head is studded with five hundred Buddhas, miraculously transformed, each attended by five hundred Bodhisattvas, who are attended, in turn, by numberless gods. And when he puts his

6. The Ultimate Boon

When the Prince of the Lonesome Island had remained six nights and days on the golden couch with the sleeping Queen of Tubber Tintye, the couch resting on wheels of gold and the wheels turning continually — the couch going round and round, never stopping night or day — on the seventh morning he said, “It is time for me now to leave this place.” So he came down and filled the three bottles with water from the flaming well. In the golden chamber was a table of gold, and on the table a leg of mutton with a loaf of bread; and if all the men of Erin were to eat for a twelvemonth from the table, the mutton and the bread would be in the same form after the eating as before.

The Prince sat down, ate his fill of the loaf and the leg of mutton, and left them as he had found them. Then he rose up, took his three bottles, put them in his wallet, and was leaving the chamber, when he said to himself: “It would be a shame to go away without leaving something by which the Queen may know who was here while she slept.” So he wrote a letter, saying that the son of the King of Erin and the Queen of the Lonesome Island had spent six days and nights in the golden chamber of Tubber Tintye, had taken away three bottles of water from the flaming well, and had eaten from the table of gold. Putting his letter under the pillow of the Queen, he went out, stood in the open window, sprang on the back of the lean and shaggy little horse, and passed the trees and the river unharmed.[138]

The ease with which the adventure is here accomplished signifies that the hero is a superior man, a born king. Such ease distinguishes numerous fairy tales and all legends of the deeds of incarnate gods. Where the usual hero would face a test, the elect encounters no delaying obstacle and makes no mistake. The well is the World Navel, its flaming water the indestructible essence of existence, the bed going round and round being the World Axis. The sleeping castle is that ultimate abyss to which the descending consciousness submerges in dream, where the individual life is on the point of dissolving into undifferentiated energy: and it would be death to dissolve; yet death, also, to lack the fire. The motif (derived from an infantile fantasy) of the inexhaustible dish, symbolizing the perpetual life-giving, form-building powers of the universal source, is a fairy-tale counterpart of the mythological image of the cornucopian banquet of the gods. The bringing together of the two great symbols of the meeting with the goddess and the fire theft reveals with simplicity and clarity the status of the anthropomorphic powers in the realm of myth. They are not ends in themselves, but guardians, embodiments, or bestowers, of the liquor, the milk, the food, the fire, the grace, of indestructible life.

Such imagery can be readily interpreted as primarily, even though perhaps not ultimately, psychological; for it is possible to observe, in the earliest phases of the development of the infant, symptoms of a dawning “mythology” of a state beyond the vicissitudes of time. These appear as reactions to, and spontaneous

CHAPTER III

Return

1. Refusal of the Return

When the hero-quest has been accomplished, through penetration to the source, or through the grace of some male or female, human or animal personification, the adventurer still must return with his life-transmuting trophy. The full round, the norm of the monomyth, requires that the hero shall now begin the labor of bringing the runes of wisdom, the Golden Fleece, or his sleeping princess back into the kingdom of humanity, where the boon may redound to the renewing of the community, the nation, the planet, or the ten thousand worlds.

But the responsibility has been frequently refused. Even the Buddha, after his triumph, doubted whether the message of realization could be communicated, and saints are reported to have passed away while in the supernal ecstasy. Numerous indeed are the heroes fabled to have taken up residence forever in the blessed isle of the unaging Goddess of Immortal Being.

A moving tale is told of an ancient Hindu warrior-king named Muchukunda. He was born from his father's left side, the father having swallowed by mistake a fertility potion that the Brahmins had prepared for his wife;* and in keeping with the promising symbolism of this miracle, the motherless marvel, fruit of the male womb, grew to be such a king among kings that when the gods, at one period, were suffering defeat in their perpetual contest with the demons, they called upon him for help. He assisted them to a mighty victory, and they, in their divine pleasure, granted him the realization of his highest wish. But what should such a king, himself almost omnipotent, desire? What greatest boon of boons could be conceived of by such a master among men? King Muchukunda, so runs the story, was very tired after his battle: all he

> Then I found my way into the company of the gods, and they welcomed me as a companion. But where, still, surcease? Where rest? The creatures of this world, gods included, are all tricked, my Lord God, by your playful ruses; that is why they continue in their futile round of birth, life agony, old age, and death. Between lives, they confront the lord of the dead and are forced to endure hells of every degree of pitiless pain. And it all comes from you!
>
> My Lord God, deluded by your playful ruses, I too was a prey of the world, wandering in a labyrinth of error, netted in the meshes of ego-consciousness. Now, therefore, I take refuge in your Presence — the boundless, the adorable — desiring only freedom from it all.

When Muchukunda stepped from his cave, he saw that men, since his departure, had become reduced in stature. He was as a giant among them. And so he departed from them again, retreated to the highest mountains, and there dedicated himself to the ascetic practices that should finally release him from his last attachment to the forms of being.[1]

Muchukunda, in other words, instead of returning, decided to retreat one degree still further from the world. And who shall say that his decision was altogether without reason?

Figure 45a. Gorgon-Sister Pursuing Perseus, Who Is Fleeing with the Head of Medusa (red-figure amphora, Greece, fifth century B.C.)

Figure 45b. Perseus Fleeing with the Head of Medusa in His Wallet (red-figure amphora, Greece, fifth century B.C.)

2. The Magic Flight

If the hero in his triumph wins the blessing of the goddess or the god and is then explicitly commissioned to return to the world with some elixir for the restoration of society, the final stage of his adventure is supported by all the powers of his supernatural patron. On the other hand, if the trophy has been attained against the opposition of its guardian, or if the hero's wish to return to the world has been resented by the gods or demons, then the last stage of the

mythological round becames a lively, often comical, pursuit. This flight may be complicated by marvels of magical obstruction and evasion.

The Welsh tell, for instance, of a hero, Gwion Bach, who found himself in the Land Under Waves. Specifically, he was at the bottom of Lake Bala, in Merionethshire, in the north of Wales. And there lived at the bottom of this lake an ancient giant, Tegid the Bald, together with his wife, Caridwen. The latter, in one of her aspects, was a patroness of grain and fertile crops, and in another, a goddess of poetry and letters. She was the owner of an immense kettle and desired to prepare therein a brew of science and inspiration. With the aid of necromantic books she contrived a black concoction which she then set over a fire to brew for a year, at the end of which period three blessed drops should be obtained of the grace of inspiration.

And she put our hero, Gwion Bach, to stir the cauldron, and a blind man named Morda to keep the fire kindled beneath it, and she charged them that they should not suffer it to cease boiling for the space of a year and a day. And she herself, according to the books of the astronomers, and in planetary hours, gathered every day of all charm-bearing herbs. And one day, towards the end of the year, as Caridwen was culling plants and making incantations, it chanced that three drops of the charmed liquor flew out of the cauldron and fell upon the finger of Gwion Bach. And by reason of their great heat he put his finger in his mouth, and the instant he put those marvel-working drops into his mouth he foresaw everything that was to come, and perceived that his chief care must be to guard against the wiles of Caridwen, for vast was her skill. And in very great fear he fled towards his own land. And the cauldron burst in two, because all the liquor within it except the three charm-bearing drops was poisonous, so that the horses of Gwyddno Garanhir were poisoned by the water of the stream into which the liquor of the cauldron ran, and the confluence of that stream was called the Poison of the Horses of Gwyddno from that time forth.

> Thereupon came in Caridwen and saw all the toil of the whole year lost. And she seized a billet of wood and struck the blind Morda on the head until one of his eyes fell out upon his cheek. And he said, “Wrongfully hast thou disfigured me, for I am innocent. Thy loss was not because of me.” “Thou speakest truth,” said Caridwen, “it was Gwion Bach who robbed me.”

3. Rescue from Without

The hero may have to be brought back from his supernatural adventure by assistance from without. That is to say, the world may have to come and get him. For the bliss of the deep abode is not lightly abandoned in favor of the self-scattering of the wakened state. “Who having cast off the world,” we read, “would desire to return again? He would be only *there*.”[10] And yet, in so far as one is alive, life will call. Society is jealous of those who remain away from it, and will come knocking at the door. If the hero — like Muchukunda — is unwilling, the disturber suffers an ugly shock; but on the other hand, if the summoned one is only delayed — sealed in by the beatitude of the state of perfect being (which resembles death) — an apparent rescue is effected, and the adventurer returns.

When Raven of the Eskimo tale had darted with his fire sticks into the belly of the whale-cow, he discovered himself at the entrance of a handsome room, at the farther end of which burned a lamp. He was surprised to see sitting there a beautiful girl. The room was dry and clean, the whale’s spine supporting the ceiling and the ribs forming the walls. From a tube that ran along the backbone, oil dripped slowly into the lamp.

When Raven entered the room, the woman looked up and cried: “How did you get here? You are the first man to enter this place.” Raven told what he had done, and she bade him take a seat on the opposite side of the room. This woman was the soul (*inua*) of the whale. She spread a meal before the visitor, gave him berries and oil, and told him, meanwhile, how she had gathered the berries the year before. Raven remained four days as guest of the *inua* in the belly of the whale, and during the entire period was trying to ascertain what kind of tube that could be, running along the ceiling. Every time the woman left the room, she forbade him to touch it. But now, when she again went out, he walked over to the lamp, stretched out his claw, and caught on it a big drop, which he licked off with his tongue. It was so sweet that he repeated the act, and then proceeded to catch drop after drop, as fast as they fell. Presently, however, his greed found this too slow, and so he reached up, broke off a piece of the tube, and ate it. Hardly had he done so, when a great gush of oil poured into the room, extinguished the light, and the chamber itself began to roll heavily back and forth. This rolling went on for four days. Raven was almost dead with fatigue and with the terrible noise that stormed around him all the while. But then everything quieted down and the room lay still; for Raven had broken one of the heart-arteries, and the whale-cow had died. The *inua* never returned. The body of the whale was

nevertheless supplies its own balances, and he is born back into the world from which he came. Instead of holding to and saving his ego, as in the pattern of the magic flight, he loses it, and yet, through grace is returned.

This brings us to the final crisis of the round, to which the whole miraculous excursion has been but a prelude — that, namely, of the paradoxical, supremely difficult threshold-crossing of the hero's return from the mystic realm into the land of common day. Whether rescued from without, driven from within, or gently carried along by the guiding divinities, he has yet to re-enter with his boon the long-forgotten atmosphere where men who are fractions imagine themselves to be complete. He has yet to confront society with his ego-shattering, life-redeeming elixir, and take the return blow of reasonable queries, hard resentment, and good people at a loss to comprehend.

Figure 50. The Reappearance of the Hero: Samson with the Temple-Doors • Christ Arisen • Jonah (engraving, German, A.D. 1471)

4. The Crossing of the Return Threshold

he two worlds, the divine and the human, can be pictured only as distinct from each other — different as life and death, as day and night. The hero adventures out of the land we know into darkness; there accomplishes his adventure, or

again is simply lost to us, imprisoned, or in danger; and his return is described as a coming back out of that yonder zone. Nevertheless — and here is a great key to the understanding of myth and symbol — the two kingdoms are actually one. The realm of the gods is a forgotten dimension of the world we know. And the exploration of that dimension, either willingly or unwillingly, is the whole sense of the deed of the hero. The values and distinctions that in normal life seem important disappear with the terrifying assimilation of the self into what formerly was only otherness. As in the stories of the cannibal ogresses, the fearfulness of this loss of personal individuation can be the whole burden of the transcendental experience for unqualified souls. But the hero-soul goes boldly in — and discovers the hags converted into goddesses and the dragons into the watchdogs of the gods.

There must always remain, however, from the standpoint of normal waking consciousness, a certain baffling inconsistency between the wisdom brought forth from the deep, and the prudence usually found to be effective in the light world. Hence the common divorce of opportunism from virtue and the resultant degeneration of human existence. Martyrdom is for saints, but the common people have their institutions, and these cannot be left to grow like lilies of the field; Peter keeps drawing his sword, as in the garden, to defend the creator and sustainer of the world.[20] The boon brought from the transcendent deep becomes quickly rationalized into nonentity, and the need becomes great for another hero to refresh the word.

How teach again, however, what has been taught correctly and incorrectly learned a thousand times, throughout the millennia of mankind's prudent folly? That is the hero's ultimate difficult task. How render back into light-world language the speech-defying pronouncements of the dark? How represent on a two-dimensional surface a three-dimensional form, or in a three-dimensional image a multi-dimensional meaning? How translate into terms of "yes" and "no" revelations that shatter into meaninglessness every attempt to define the pairs of opposites? How communicate to people who insist on the exclusive evidence of their senses the message of the all-generating void?

Many failures attest to the difficulties of this life-affirmative threshold. The first problem of the returning hero is to accept as real, after an experience of the soul-satisfying vision of fulfillment, the passing joys and sorrows, banalities and noisy obscenities of life. Why re-enter such a world? Why attempt to make plausible, or even interesting, to men and women consumed with passion, the experience of transcendental bliss? As dreams that were momentous by night may seem simply silly in the light of day, so the poet and the prophet can discover themselves playing the idiot before a jury of sober eyes. The easy thing

common day. This is the sign of the hero's requirement, now, to knit together his two worlds.

The remainder of the long story of Kamar al-Zaman is a history of the slow yet wonderful operation of a destiny that has been summoned into life. Not everyone has a destiny: only the hero who has plunged to touch it, and has come up again — with a ring.

5. Master of the Two Worlds

Freedom to pass back and forth across the world division, from the perspective of the apparitions of time to that of the causal deep and back — not contaminating the principles of the one with those of the other, yet permitting the mind to know the one by virtue of the other — is the talent of the master. The Cosmic Dancer, declares Nietzsche, does not rest heavily in a single spot, but gaily, lightly, turns and leaps from one position to another. It is possible to speak from only one point at a time, but that does not invalidate the insights of the rest.

The myths do not often display in a single image the mystery of the ready transit. Where they do, the moment is a precious symbol, full of import, to be treasured and contemplated. Such a moment was that of the Transfiguration of the Christ.

> Jesus taketh Peter, James, and John his brother, and bringeth them up into an high mountain apart, and was transfigured before them: and his face did shine as the sun, and his raiment was white as the light. And, behold, there appeared unto them Moses and Elias talking with him. Then answered Peter, and said unto Jesus, Lord, it is good for us to be here; if thou wilt, let us make here three tabernacles; one for thee, and one for Moses, and one for Elias.* While he yet spoke, behold, a bright cloud overshadowed them: and behold a voice out of the cloud, which said, This is my beloved Son, in whom I am well pleased; hear ye him. And when the disciples heard it, they fell on their face, and were sore afraid. And Jesus came and touched them, and said, Arise, and be not afraid. And when they had lifted up their eyes, they saw no man, save Jesus only. And as they came down from the mountain, Jesus charged them, saying, Tell the vision to no man, until the Son of man be risen again from the dead. [28]

Here is the whole myth in a moment: Jesus the guide, the way, the vision, and the companion of the return. The disciples are his initiates, not themselves masters of the mystery, yet introduced to the full experience of the paradox of the two worlds in one. Peter was so frightened he babbled.[29] Flesh had dissolved before their eyes to reveal the Word. They fell upon their faces, and when they arose the door again had closed.

It should be observed that this eternal moment soars beyond Kamar al-

which you have just now beheld Me," Kṛṣṇa declared, after he had resumed his familiar shape; "but only by devotion to Me may I be known in this form, realized truly, and entered into. He who does My work and regards Me as the Supreme Goal, who is devoted to Me and without hatred for any creature — he comes to me."[35] A corresponding formulation by Jesus makes the point more succinctly: "Whosoever will lose his life for my sake shall find it."[36]

The meaning is very clear; it is the meaning of all religious practice. The individual, through prolonged psychological disciplines, gives up completely all attachment to his personal limitations, idiosyncrasies, hopes and fears, no longer resists the self-annihilation that is prerequisite to rebirth in the realization of truth, and so becomes ripe, at last, for the great at-one-ment. His personal ambitions being totally dissolved, he no longer tries to live but willingly relaxes to whatever may come to pass in him; he becomes, that is to say, an anonymity. The Law lives in him with his unreserved consent.

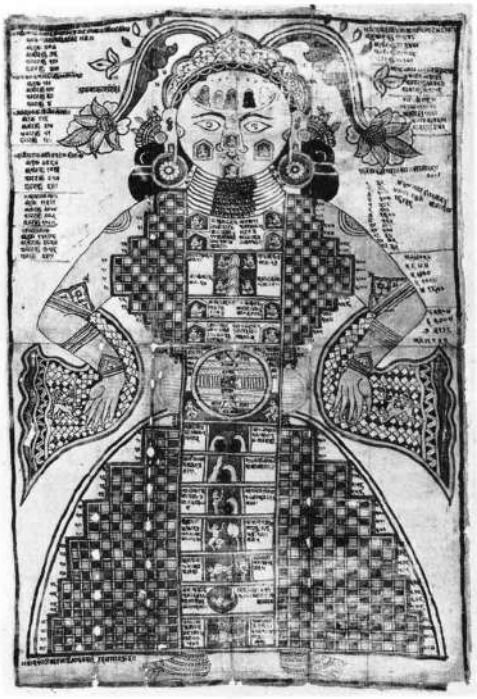


Figure 53. The Cosmic Woman of the Jains (gouache on cloth, India, eighteenth century A.D.)

Many are the figures, particularly in the social and mythological contexts of the Orient, who represent this ultimate state of anonymous presence. The sages of the hermit groves and the wandering mendicants who play a conspicuous role in the life and legends of the East; in myth such figures as the Wandering Jew (despised, unknown, yet with the pearl of great price in his pocket); the tatterdemalion beggar, set upon by dogs; the miraculous mendicant bard whose music stills the heart; or the masquerading god, Zeus, Wotan, Viracocha, Edshu: these are examples.

> Sometimes a fool, sometimes a sage, sometimes possessed of regal splendor; sometimes wandering, sometimes as motionless as a python, sometimes wearing a benignant expression; sometimes honored, sometimes insulted, sometimes unknown — thus lives the man of realization, ever happy with supreme bliss. Just as an actor is always a man, whether he puts on the costume of his role or lays it aside, so is the perfect knower of the Imperishable always the Imperishable, and nothing else.[37]

6. Freedom to Live

hat, now, is the result of the miraculous passage and return?

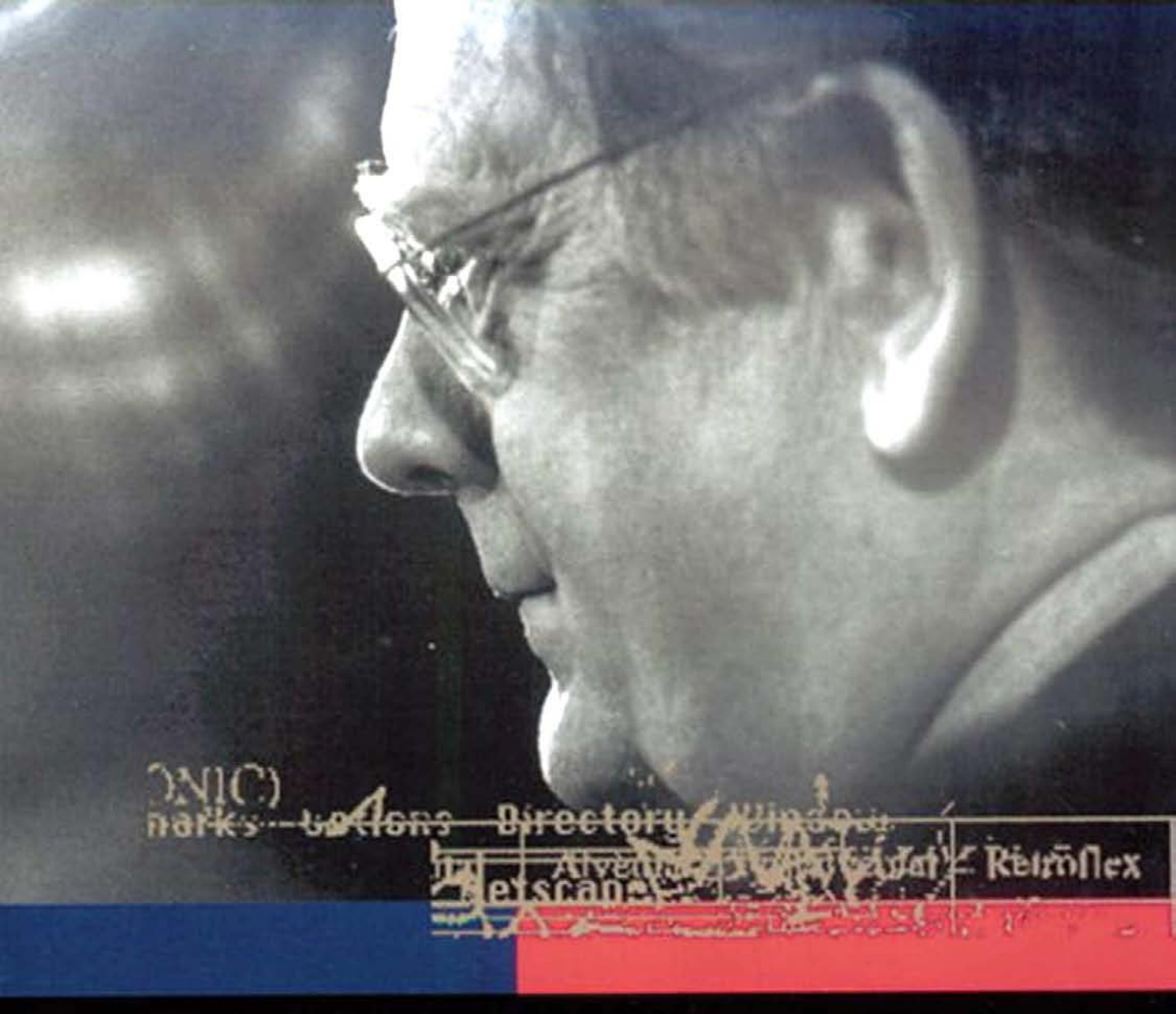
The battlefield is symbolic of the field of life, where every creature lives on the death of another. A realization of the inevitable guilt of life may so sicken the heart that, like Hamlet or like Arjuna, one may refuse to go on with it. On the other hand, like most of the rest of us, one may invent a false, finally unjustified, image of oneself as an exceptional phenomenon in the world, not guilty as others are, but justified in one's inevitable sinning because one represents the good. Such self-righteousness leads to a misunderstanding, not only of oneself but of the nature of both man and the cosmos. The goal of the myth is to dispel the need for such life ignorance by effecting a reconciliation of the individual consciousness with the universal will. And this is effected through a realization of the true relationship of the passing phenomena of time to the imperishable life that lives and dies in all.

> Even as a person casts off worn-out clothes and puts on others that are new, so the embodied Self casts off worn-out bodies and enters into others that are new. Weapons cut It not; fire burns It not; water wets It not; the wind does not wither It. This Self cannot be cut nor burnt nor wetted nor withered. Eternal, all-pervading, unchanging, immovable, the Self is the same forever.[38]

Man in the world of action loses his centering in the principle of eternity if he is anxious for the outcome of his deeds, but resting them and their fruits on the knees of the Living God he is released by them, as by a sacrifice, from the bondages of the sea of death. "Do without attachment the work you have to do....Surrendering all action to Me, with mind intent on the Self, freeing yourself from longing and selfishness, fight — unperturbed by grief."[39]

Powerful in this insight, calm and free in action, elated that through his hand should flow the grace of Viracocha, the hero is the conscious vehicle of the terrible, wonderful Law, whether his work be that of butcher, jockey, or king.

Gwion Bach, who, having tasted three drops from the poison kettle of inspiration, was eaten by the hag Caridwen, reborn as an infant, and committed to the sea, was found next morning in a fish trap by a hapless and sorely disappointed young man named Elphin, son of the wealthy landholder Gwyddno, whose horses had been killed by the flood of the burst kettle's poison. When the men took up the leathern bag out of the trap and opened it and saw the forehead of the baby boy, they said to Elphin, "Behold a radiant brow (*taliesin*)!" "Taliesin be he called," said Elphin. And he lifted the boy in his arms, and, lamenting his mischance, he placed him sorrowfully behind him. And he made his horse amble gently that before had been trotting, and he carried him as softly as if he had been sitting on the easiest chair in the world. And presently the boy



Northrop Frye

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archetypal view of literature, and urged the Muse to forget the matter of Troy and develop new themes. This is a low mimetic prejudice, and is consequently appropriate enough for Whitman, who is both right and wrong. He is wrong because the matter of Troy will always be, in the foreseeable future, an integral part of the Western cultural heritage, and hence references to Agamemnon in Yeats's *Leda* or Eliot's *Sweeney among the Nightingales* have as much cumulative power as ever for the properly instructed reader. But he is of course perfectly right in feeling that the *content* of poetry is normally an immediate and contemporary environment. He was right, being the kind of poet he was, in making the content of his own *When Lilacs Last in the Dooryard Bloomed* an elegy on Lincoln and not a conventional Adonis lament. Yet his elegy is, in its *form*, as conventional as *Lycidas*, complete with purple flowers thrown on coffins, a great star drooping in the west, imagery of "ever-returning spring" and all the rest of it. Poetry organizes the content of the world as it passes before the poet, but the forms in which that content is organized come out of the structure of poetry itself.

Archetypes are associative clusters, and differ from signs in being complex variables. Within the complex is often a large number of specific learned associations which are communicable because a large number of people in a given culture happen to be familiar with them. When we speak of "symbolism" in ordinary life we usually think of such learned cultural archetypes as the cross or the crown, or of conventional associations, as of white with purity or green with jealousy. As an archetype, green may symbolize hope or vegetable nature or a go sign in traffic or Irish patriotism as easily as jealousy, but the word green as a verbal sign always refers to a certain color. Some archetypes are so deeply rooted in conventional association that they can hardly avoid suggesting that association, as the geometrical figure of the cross inevitably suggests the death of Christ. A *completely* conventionalized art would be an art in which the archetypes, or communicable units, were essentially a set of esoteric signs. This can happen in the arts—for instance in some of the sacred dances of India—but it has not happened in Western literature yet, and the resistance of modern writers to having their archetypes "spotted," so to speak, is due to a natural anxiety to keep them as versatile as possible, not pinned down exclusively to one interpretation. A poet may be showing an esoteric

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Part I:
Archetypes and the Collective Unconscious

Volume
9

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ARCHETYPES OF THE COLLECTIVE UNCONSCIOUS[1]

[1] The hypothesis of a collective unconscious belongs to the class of ideas that people at first find strange but soon come to possess and use as familiar conceptions. This has been the case with the concept of the unconscious in general. After the philosophical idea of the unconscious, in the form presented chiefly by Carus and von Hartmann, had gone down under the overwhelming wave of materialism and empiricism, leaving hardly a ripple behind it, it gradually reappeared in the scientific domain of medical psychology.

[2] At first the concept of the unconscious was limited to denoting the state of repressed or forgotten contents. Even with Freud, who makes the unconscious—at least metaphorically—take the stage as the acting subject, it is really nothing but the gathering place of forgotten and repressed contents, and has a functional significance thanks only to these. For Freud, accordingly, the unconscious is of an exclusively personal nature,[2] although he was aware of its archaic and mythological thought-forms.

[3] A more or less superficial layer of the unconscious is undoubtedly personal. I call it the *personal unconscious*. But this personal unconscious rests upon a deeper layer, which does not derive from personal experience and is not a personal acquisition but is inborn. This deeper layer I call the *collective unconscious*. I have chosen the term "collective" because this part of the unconscious is not individual but universal; in contrast to the personal psyche, it has contents and modes of behaviour that are more or less the same everywhere and in all individuals. It is, in other words, identical in all men and thus constitutes

a common psychic substrate of a suprapersonal nature which is present in every one of us.

[4] Psychic existence can be recognized only by the presence of contents that are *capable of consciousness*. We can therefore speak of an unconscious only in so far as we are able to demonstrate its contents. The contents of the personal unconscious are chiefly the *feeling-toned complexes*, as they are called; they constitute the personal and private side of psychic life. The contents of the collective unconscious, on the other hand, are known as *archetypes*.

[5] The term "archetype" occurs as early as Philo Judaeus,[3] with reference to the *Imago Dei* (God-image) in man. It can also be found in Irenaeus, who says: "The creator of the world did not fashion these things directly from himself but copied them from archetypes outside himself."[4] In the *Corpus Hermeticum,*[5] God is called τὸ *ἀρχέτυπον* φῶς (archetypal light). The term occurs several times in Dionysius the Areopagite, as for instance in *De caelesti hierarchia*, II, 4: "immaterial Archetypes,"[6] and in *De divinis nominibus*, I, 6: "Archetypal stone."[7] The term "archetype" is not found in St. Augustine, but the idea of it is. Thus in *De diversis quaestionibus LXXXIII* he speaks of *"ideae principales*, 'which are themselves not formed … but are contained in the divine understanding.'"[8] "Archetype" is an explanatory paraphrase of the Platonic εἶδος. For our purposes this term is apposite and helpful, because it tells us that so far as the collective unconscious contents are concerned we are dealing with archaic or—I would say—primordial types, that is, with universal images that have existed since the remotest times. The term "représentations collectives," used by Lévy-Bruhl to denote the symbolic figures in the primitive view of the world, could easily be applied to unconscious contents as well, since it means practically the same thing. Primitive tribal lore is concerned with archetypes that have been modified in a special way. They are no longer contents of the unconscious, but have already been changed into conscious formulae taught according to tradition, generally in the form of esoteric teaching.

ferocious beasts which the caverns of the psychic underworld are supposed to harbour.

[43] True, whoever looks into the mirror of the water will see first of all his own face. Whoever goes to himself risks a confrontation with himself. The mirror does not flatter, it faithfully shows whatever looks into it; namely, the face we never show to the world because we cover it with the *persona*, the mask of the actor. But the mirror lies behind the mask and shows the true face.

[44] This confrontation is the first test of courage on the inner way, a test sufficient to frighten off most people, for the meeting with ourselves belongs to the more unpleasant things that can be avoided so long as we can project everything negative into the environment. But if we are able to see our own shadow and can bear knowing about it, then a small part of the problem has already been solved: we have at least brought up the personal unconscious. The shadow is a living part of the personality and therefore wants to live with it in some form. It cannot be argued out of existence or rationalized into harmlessness. This problem is exceedingly difficult, because it not only challenges the whole man, but reminds him at the same time of his helplessness and ineffectuality. Strong natures—or should one rather call them weak?—do not like to be reminded of this, but prefer to think of themselves as heroes who are beyond good and evil, and to cut the Gordian knot instead of untying it. Nevertheless, the account has to be settled sooner or later. In the end one has to admit that there are problems which one simply cannot solve on one's own resources. Such an admission has the advantage of being honest, truthful, and in accord with reality, and this prepares the ground for a compensatory reaction from the collective unconscious: you are now more inclined to give heed to a helpful idea or intuition, or to notice thoughts which had not been allowed to voice themselves before. Perhaps you will pay attention to the dreams that visit you at such moments, or will reflect on certain inner and outer occurrences that take place just at this time. If you have an attitude of this kind, then the helpful powers

of mankind through the Son of God. As we know, this causal nexus gave rise to the Ophitic identification of the serpent with the Σωτήρ (Saviour). The black horse and the black magician are half-evil elements whose relativity with respect to good is hinted at in the exchange of garments. The two magicians are, indeed, two aspects of the *wise old man*, the superior master and teacher, the archetype of the spirit, who symbolizes the pre-existent meaning hidden in the chaos of life. He is the father of the soul, and yet the soul, in some miraculous manner, is also his virgin mother, for which reason he was called by the alchemists the "first son of the mother." The black magician and the black horse correspond to the descent into darkness in the dreams mentioned earlier.

[75] What an unbearably hard lesson for a young student of theology! Fortunately he was not in the least aware that the father of all prophets had spoken to him in the dream and placed a great secret almost within his grasp. One marvels at the inappropriateness of such occurrences. Why this prodigality? But I have to admit that we do not know how this dream affected the student in the long run, and I must emphasize that to me, at least, the dream had a very great deal to say. It was not allowed to get lost, even though the dreamer did not understand it.

[76] The old man in this dream is obviously trying to show how good and evil function together, presumably as an answer to the still unresolved moral conflict in the Christian psyche. With this peculiar relativization of opposites we find ourselves approaching nearer to the ideas of the East, to the *nirdvandva* of Hindu philosophy, the freedom from opposites, which is shown as a possible way of solving the conflict through reconciliation. How perilously fraught with meaning this Eastern relativity of good and evil is, can be seen from the Indian aphoristic question: "Who takes longer to reach perfection, the man who loves God, or the man who hates him?" And the answer is: "He who loves God takes seven reincarnations to reach perfection, and he who hates God takes only three, for he who hates God will think of him more than he who loves him," Freedom from opposites presupposes their functional

THE CONCEPT OF THE COLLECTIVE UNCONSCIOUS[1]

[87] Probably none of my empirical concepts has met with so much misunderstanding as the idea of the collective unconscious. In what follows I shall try to give (1) a definition of the concept, (2) a description of what it means for psychology, (3) an explanation of the method of proof, and (4) an example.

1. *Definition*

[88] The collective unconscious is a part of the psyche which can be negatively distinguished from a personal unconscious by the fact that it does not, like the latter, owe its existence to personal experience and consequently is not a personal acquisition. While the personal unconscious is made up essentially of contents which have at one time been conscious but which have disappeared from consciousness through having been forgotten or repressed, the contents of the collective unconscious have never been in consciousness, and therefore have never been individually acquired, but owe their existence exclusively to heredity. Whereas the personal unconscious consists for the most part of *complexes*, the content of the collective unconscious is made up essentially of *archetypes*.

[89] The concept of the archetype, which is an indispensable correlate of the idea of the collective unconscious, indicates the existence of definite forms in the psyche which seem to be present always and everywhere. Mythological research calls them "motifs"; in the psychology of primitives they correspond to Lévy-Bruhl's concept of "représentations

universal parallelism between mythological motifs, which, on account of their quality as primordial images, I have called *archetypes*.

[119] One of these archetypes, which is of paramount practical importance for the psychotherapist, I have named the anima. This Latin expression is meant to connote something that should not be confused with any dogmatic Christian idea of the soul or with any of the previous philosophical conceptions of it. If one wishes to form anything like a concrete conception of what this term covers, one would do better to go back to a classical author like Macrobius,[10] or to classical Chinese philosophy,[11] where the anima (*p'o* or *kuei*) is regarded as the feminine and chthonic part of the soul. A parallel of this kind always runs the risk of metaphysical concretism, which I do my best to avoid, though any attempt at graphic description is bound to succumb to it up to a point. For we are dealing here not with an abstract concept but with an empirical one, and the form in which it appears necessarily clings to it, so that it cannot be described at all except in terms of its specific phenomenology.

[120] Unperturbed by the philosophical pros and cons of the age, a scientific psychology must regard those transcendental intuitions that sprang from the human mind in all ages as *projections*, that is, as psychic contents that were extrapolated in metaphysical space and hypostatized.[12] We encounter the anima historically above all in the divine syzygies, the male-female pairs of deities. These reach down, on the one side, into the obscurities of primitive mythology,[13] and up, on the other, into the philosophical speculations of Gnosticism[14] and of classical Chinese philosophy, where the cosmogonic pair of concepts are designated *yang* (masculine) and *yin* (feminine).[15] We can safely assert that these syzygies are as universal as the existence of man and woman. From this fact we may reasonably conclude that man's imagination is bound by this motif, so that he was largely compelled to project it again and again, at all times and in all places.[16]

[121] Now, as we know from psychotherapeutic experience, projection is an unconscious, automatic process whereby a content that is unconscious

1. ON THE CONCEPT OF THE ARCHETYPE

[148] The concept of the Great Mother belongs to the field of comparative religion and embraces widely varying types of mother-goddess. The concept itself is of no immediate concern to psychology, because the image of a Great Mother in this form is rarely encountered in practice, and then only under very special conditions. The symbol is obviously a derivative of the *mother archetype*. If we venture to investigate the background of the Great Mother image from the standpoint of psychology, then the mother archetype, as the more inclusive of the two, must form the basis of our discussion. Though lengthy discussion of the *concept* of an archetype is hardly necessary at this stage, some preliminary remarks of a general nature may not be out of place.

[149] In former times, despite some dissenting opinion and the influence of Aristotle, it was not too difficult to understand Plato's conception of the Idea as supraordinate and pre-existent to all phenomena. "Archetype," far from being a modern term, was already in use before the time of St. Augustine, and was synonymous with "Idea" in the Platonic usage. When the *Corpus Hermeticum*, which probably dates from the third century, describes God as *τὸ ἀρέέτυπον φς*, the 'archetypal light,' it expresses the idea that he is the prototype of all light; that is to say, pre-existent and supraordinate to the phenomenon "light." Were I a philosopher, I should continue in this Platonic strain and say: Somewhere, in "a place beyond the skies," there is a prototype or primordial image of the mother that is pre-existent and supraordinate to all phenomena in which the "maternal," in the broadest sense of the term, is manifest. But I am an empiricist, not a philosopher; I cannot let myself presuppose that my peculiar temperament, my own attitude to intellectual problems, is universally valid. Apparently this is an assumption in which only the philosopher may indulge, who always takes it for granted that his own disposition and

[260] These products are never (or at least very seldom) myths with a definite form, but rather mythological components which, because of their typical nature, we can call "motifs," "primordial images," types or —as I have named them—*archetypes*. The child archetype is an excellent example. Today we can hazard the formula that the archetypes appear in myths and fairytales just as they do in dreams and in the products of psychotic fantasy. The medium in which they are embedded is, in the former case, an ordered and for the most part immediately understandable context, but in the latter case a generally unintelligible, irrational, not to say delirious sequence of images which nonetheless does not lack a certain hidden coherence. In the individual, the archetypes appear as involuntary manifestations of unconscious processes whose existence and meaning can only be inferred, whereas the myth deals with traditional forms of incalculable age. They hark back to a prehistoric world whose spiritual preconceptions and general conditions we can still observe today among existing primitives. Myths on this level are as a rule tribal history handed down from generation to generation by word of mouth. Primitive mentality differs from the civilized chiefly in that the conscious mind is far less developed in scope and intensity. Functions such as thinking, willing, etc. are not yet differentiated; they are pre-conscious, and in the case of thinking, for instance, this shows itself in the circumstance that the primitive does not think *consciously*, but that thoughts *appear*. The primitive cannot assert that he thinks; it is rather that "something thinks in him." The spontaneity of the act of thinking does not lie, causally, in his conscious mind, but in his unconscious. Moreover, he is incapable of any conscious effort of will; he must put himself beforehand into the "mood of willing," or let himself be put—hence his *rites d'entrée et de sortie*. His consciousness is menaced by an almighty unconscious: hence his fear of magical influences which may cross his path at any moment; and for this reason, too, he is surrounded by unknown forces and must adjust himself to them as best he can. Owing to the chronic twilight state of his consciousness, it is often next to impossible to find out whether he merely dreamed

the case of a woman. All I have done in my anima theory is to rediscover and reformulate this fact.[34] It had long been known.

[295] The idea of the *coniunctio* of male and female, which became almost a technical term in Hermetic philosophy, appears in Gnosticism as the *mysterium iniquitatis*, probably not uninfluenced by the Old Testament "divine marriage" as performed, for instance, by Hosea.[35] Such things are hinted at not only by certain traditional customs,[36] but by the quotation from the Gospel according to the Egyptians in the second epistle of Clement: "When the two shall be one, the outside as the inside, and the male with the female neither male nor female."[37] Clement of Alexandria introduces this logion with the words: "When ye have trampled on the garment of shame (with thy feet)…,"[38] which probably refers to the body; for Clement as well as Cassian (from whom the quotation was taken over), and the pseudo-Clement, too, interpreted the words in a spiritual sense, in contrast to the Gnostics, who would seem to have taken the *coniunctio* all too literally. They took care, however, through the practice of abortion and other restrictions, that the biological meaning of their acts did not swamp the religious significance of the rite. While, in Church mysticism, the primordial image of the *hieros gamos* was sublimated on a lofty plane and only occasionally—as for instance with Mechthild of Magdeburg[39]—approached the physical sphere in emotional intensity, for the rest of the world it remained very much alive and continued to be the object of especial psychic preoccupation. In this respect the symbolical drawings of Opicinus de Canistris[40] afford us an interesting glimpse of the way in which this primordial image was instrumental in uniting opposites, even in a pathological state. On the other hand, in the Hermetic philosophy that throve in the Middle Ages the *coniunctio* was performed wholly in the physical realm in the admittedly abstract theory of the *coniugium solis et lunae*, which despite this drawback gave the creative imagination much occasion for anthropomorphic flights.

[296] Such being the state of affairs, it is readily understandable that the primordial image of the hermaphrodite should reappear in modern

psychology in the guise of the male-female antithesis, in other words as *male* consciousness and personified *female* unconscious. But the psychological process of bringing things to consciousness has complicated the picture considerably. Whereas the old science was almost exclusively a field in which only the man's unconscious could project itself, the new psychology had to acknowledge the existence of an autonomous female psyche as well. Here the case is reversed, and a feminine consciousness confronts a masculine personification of the unconscious, which can no longer be called *anima* but *animus*. This discovery also complicates the problem of the *coniunctio*.

[297] Originally this archetype played its part entirely in the field of fertility magic and thus remained for a very long time a purely biological phenomenon with no other purpose than that of fecundation. But even in early antiquity the symbolical meaning of the act seems to have increased. Thus, for example, the physical performance of the *hieros gamos* as a sacred rite not only became a mystery—it faded to a mere conjecture.[41] As we have seen, Gnosticism, too, endeavoured in all seriousness to subordinate the physiological to the metaphysical. Finally, the Church severed the *coniunctio* from the physical realm altogether, and natural philosophy turned it into an abstract *theoria*. These developments meant the gradual transformation of the archetype into a psychological process which, in theory, we can call a combination of conscious and unconscious processes. In practice, however, it is not so simple, because as a rule the feminine unconscious of a man is projected upon a feminine partner, and the masculine unconscious of a woman is projected upon a man. The elucidation of these problems is a special branch of psychology and has no part in a discussion of the mythological hermaphrodite.

4. *The Child as Beginning and End*

[298] Faust, after his death, is received as a boy into the "choir of blessed youths." I do not know whether Goethe was referring, with this peculiar

[398] The figure of the wise old man can appear so plastically, not only in dreams but also in visionary meditation (or what we call active imagination"), that, as is sometimes apparently the case in India, it takes over the role of a guru.[11] The wise old man appears in dreams in the guise of a magician, doctor, priest, teacher, professor, grandfather, or any other person possessing authority. The archetype of spirit in the shape of a man, hobgoblin, or animal always appears in a situation where insight, understanding, good advice, determination, planning, etc., are needed but cannot be mustered on one's own resources. The archetype compensates this state of spiritual deficiency by contents designed to fill the gap. An excellent example of this is the dream about the white and black magicians, which tried to compensate the spiritual difficulties of a young theological student. I did not know the dreamer myself, so the question of my personal influence is ruled out. He dreamed *he was standing in the presence of a sublime hieratic figure called the "white magician," who was nevertheless clothed in a long black robe. This magician had just ended a lengthy discourse with the words "And for that we require the help of the black magician." Then the door suddenly opened and another old man came in, the "black magician," who however was dressed in a white robe. He too looked noble and sublime. The black magician evidently wanted to speak with the white, but hesitated to do so in the presence of the dreamer. At that the white magician, pointing to the dreamer, said, "Speak, he is an innocent." So the black magician began to relate a strange story of how he had found the lost keys of Paradise and did not know how to use them. He had, he said, come to the white magician for an explanation of the secret of the keys. He told him that the king of the country in which he lived was seeking a suitable tomb for himself. His subjects had chanced to dig up an old sarcophagus containing the mortal remains of a virgin. The king opened the sarcophagus, threw away the bones, and had the empty sarcophagus buried again for later use. But no sooner had the bones seen the light of day than the being to whom they once had belonged—the virgin—changed into a black horse that galloped off into the desert. The black*

trickster. These are the phenomena connected with poltergeists, and they occur at all times and places in the ambience of pre-adolescent children. The malicious tricks played by the poltergeist are as well known as the low level of his intelligence and the fatuity of his "communications." Ability to change his shape seems also to be one of his characteristics, as there are not a few reports of his appearance in animal form. Since he has on occasion described himself as a soul in hell, the motif of subjective suffering would seem not to be lacking either. His universality is co-extensive, so to speak, with that of shamanism, to which, as we know, the whole phenomenology of spiritualism belongs. There is something of the trickster in the character of the shaman and medicine-man, for he, too, often plays malicious jokes on people, only to fall victim in his turn to the vengeance of those whom he has injured. For this reason, his profession sometimes puts him in peril of his life. Besides that, the shamanistic techniques in themselves often cause the medicine-man a good deal of discomfort, if not actual pain. At all events the "making of a medicine-man" involves, in many parts of the world, so much agony of body and soul that permanent psychic injuries may result. His "approximation to the saviour" is an obvious consequence of this, in confirmation of the mythological truth that the wounded wounder is the agent of healing, and that the sufferer takes away suffering.

[458] These mythological features extend even to the highest regions of man's spiritual development. If we consider, for example, the daemonic features exhibited by Yahweh in the Old Testament, we shall find in them not a few reminders of the unpredictable behaviour of the trickster, of his senseless orgies of destruction and his self-imposed sufferings, together with the same gradual development into a saviour and his simultaneous humanization. It is just this transformation of the meaningless into the meaningful that reveals the trickster's compensatory relation to the "saint." In the early Middle Ages, this led to some strange ecclesiastical customs based on memories of the ancient saturnalia. Mostly they were celebrated on the days immediately following the birth of Christ—that is,

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IV

THE SELF [1]

45 We shall now turn to the question of whether the increase in self-knowledge resulting from the withdrawal of impersonal projections—in other words, the integration of the contents of the collective unconscious—exerts a specific influence on the ego-personality. To the extent that the integrated contents are *parts of the self*, we can expect this influence to be considerable. Their assimilation augments not only the area of the field of consciousness but also the importance of the ego, especially when, as usually happens, the ego lacks any critical approach to the unconscious. In that case it is easily overpowered and becomes identical with the contents that have been assimilated. In this way, for instance, a masculine consciousness comes under the influence of the anima and can even be possessed by her.

44 I have discussed the wider effects of the integration of unconscious contents elsewhere [2] and can therefore omit going into details here. I should only like to mention that the more numerous and the more significant the unconscious contents which are assimilated to the ego, the closer the approximation of the ego to the self, even though this approximation must be a never-ending process. This inevitably produces an inflation of the ego,[3] unless a critical line of demarcation is drawn between it and the unconscious figures. But this act of discrimination yields practical results only if it succeeds in fixing reasonable boundaries to the ego and in granting the figures of the unconscious—the self, anima, animus, and shadow—relative autonomy and reality

[1] The material for this chapter is drawn from a paper, "Über das Selbst," published in the *Eranos-Jahrbuch 1948*.

[2] "The Relations between the Ego and the Unconscious."

[3] In the sense of the words used in I Cor. 5 : 2: "Inflati estis [πεφυσιωμενοι] et non magis luctum habuistis" (And you are puffed up, and have not rather mourned)—with reference to a case of tolerated incest with the mother ("that a man should have his father's wife").

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CHAPTER 1

The Understanding of Literature

Literature and Literary Study

Before we discuss about definition of literature, first we need to distinguish the difference between literature and literary study. Both of the terms often cause confusion for begginners.

Warren (1949) states that literature and literary study are distinguished by two activities; literature relates to creativity and art, while literary study links to science or specific discipline of knowledge. Literature cannot be studied at all, which means that we can only read, enjoy, and appreciate it. In contrast, literary study can be defined as knowledge to consider The Second Creation. This creationis created by writers, as if readers entered to the world created by the writers in their literary works.[1]

In line with Warren, Darma (2004) states that the scope of literature is creating creativity, meanwhile literary study is studying literature as the object. It is identified that literature focuses on the creativity, whereas literary study focuses on the science. The responsibility of literature is creativity, while literary study is scientific logic.

[1] Rene Wellek & Austin Warrren. The Theory of Literature. New York. Haecourt, Brace and Company. 1949, p. 1

way[37]. In technical terms, it is called estranging, as opposed to day-to-day or daily use of language. Although this definition, which is derived from Viktor Shklovsky's survey on the possible scientific facets of literary analysis, matches the characteristics of poetry, Eagleton objects to this definition for two reasons. First of all, not all literary works, like a novel or a drama, use language with this estranging effect. Yet, they are still categorized as literature. Secondly, Eagleton adds, giving a certain context to all language is estranging. As an example, Eagleton quotes a sign post in an England subway which reads "Dogs must be carried on the escalator"[38]. It may seem unambiguous at first. Yet, this seemingly plain announcement might be estranging: does this mean that people are not allowed to use the escalator unless they carry a dog?

Other definitions of literature, namely literature as fictional writing and literature as *belles-lettres* are easier to refute. The inadequacy of the first definition is that not all fictional writings, such as *Gundala Putra Petir* or even *Wiro Sableng* for that matter are considered as literature. The later definition is usually taught to Indonesian high school students: etymologically, *susastra* (literature) is derived from Sanskrit i.e. *su-* meaning good and *sastra* meaning writing so that *susastra* means good writing which is synonymous with *belles lettres*. For Eagleton, this definition leads to the impossibility of defining literature objectively because the next question would be who has the right to set the standard. A work considered literary by certain community might be ordinary for another. Since the definition of literature then depends on the "who" rather than the "what," both Eagleton and Culler agree that literature and weeds are similar in the sense that ontological definition of them is beyond objective formulation. The closest definition we might come to is that literature is some kind of writing which for certain reasons people value highly. Functionality and language estrangement function as non-defining features of literature rather than as the defining characteristics of literature.[39]

[37] Terry Engleton, Literary Theory: An Introduction, 2nd edition. Massachusetts: Blackwell Publisher, 1996

[38] See [37]

[39] M. Syaifuddin S. & Aang Fatihul Islam. Another Form of Literary Appreciation; A Theoretical Paradigm in Appreciating Literary Works. Yogyakarta: Laskar Matahari, 2015, p. 10.

works associated with the genre are fictional novels and short stories.[87,88]

Characteristics of Prose

Characteristics of prose are divided into four categories:

1. **Narrative**: writing which tells a story (can be fiction or non-fiction); usually told in chronological order; has characters; follows the basic **plot-line** - exposition, rising action, climax, falling action.
2. **Expository**: giving basic information; used often in speeches and essays; not telling a story or argue.
3. **Descriptive**: describing something in detail, again without telling a story or arguing a point; used most often in combination with another mode of writing, but alone are often found in scientific or medical reports.
4. **Persuasive**: arguing a point (or two sides of a question); giving evidence in favor or against.

Elements of Prose Fiction

There are some elements of prose fiction:

1. Theme

Indeed the experience of reading essays academic critics and papers of proffessional students might lead one to believing that writing a story is simply a way to find a clever disguise for abstract ideas. Theme hunting is a favorite activity of critics and teachers of fiction. And since this is so, it's a common for students as well. And why should a writer tends to disguise his ideas? Apparently in order to give critics and students something to do.[89]

The theme in fiction is how the author is able to make the total experience rendered. And although there will be something generalin the theme of a work of fiction, theme is the ultimate unifying element in it. Itresponses to the pressure of theme that the author shapes

[87] See [64]

[88] Kathleen Parthe.Russian Village Prose: The Radiant Past. Princeton University Press, Princeton, NJ: 1992 .p151.

[89] Obstfeld.Fiction First Aid: Instant Remedies for Novels, Stories and Scripts. Cincinnati, OH: Writer's Digest Books 2002, p. 1, 65, 115, 171.

plot and brings character into being.It is theme which provides the writer with his most important principle of selection whether consciously stated or not.

Theme is the main idea that weaves the story together, the why, the underlying ideas of what happens in the piece of literature, often a statement about society or human nature. Explicit theme is when the writer states the theme openly and clearly.

Theme tends to be an overused term in English classes. It implies that each story has a secret message that can be decoded, if only we can read the clues or possess the secret key. It's a holdover from the expectation that stories must have a moral lesson to teach.

2. Setting

Setting refers to the place and time. Setting is the locale and time of a story. The setting is often a real place, but may be a fictitious city or country within our own world; a different planet; or an alternate universe, which may or may not have similarities with our own universe. Sometimes setting is referred to as milieu, to include a context (such as society) beyond the immediate surroundings of the story.[90] In some cases, setting becomes a character itself and can set the tone of a story.

Setting refers to where and when the action of the story occurs. In certain stories, the environment can play a significant role. Sometimes the environment is so important that it may imply characters in the story and take part to raise conflict. Knowing where and when the story is happening will help readers to produce stronger, more defensible interpretations. One reason why we may read for pleasure is that literature can take us to somewhere else.

Types of settings:

a. Neutral settings: often the setting in a work of fiction is little more than a reflection of the truth that things have to happen somewhere.
b. The spiritual settings: our expectations to rural settings suggest that few settings are absolutely neutral because few settings are merely physical.

[90] *Truby, John (2007,* p. 145). Anatomy of a Story: 22 Steps to Becoming a Master Storyteller. New York, NY: Faber and Faber, Inc

The elements of setting:

a. The actual geographical location, including photography, scenery, even the details of a rooms interior
b. The occupation and modes of day-to-day existence of the characters
c. The time in which the action takes places e.g. Historical period, season, season of the year
d. The religious, moral, intellectual, social, emotional environment of the characters Function of setting.
e. Setting as metaphor: we have thus far been limiting our discussion to the literal presentation of setting. Even what we have called "spiritual setting" does not essentially involve a departure from the literal, since it extends only to the observable and intangible, effect that time and place may have on character and events. Now we shall discuss a use setting that involves extra literal elements.
f. Atmosphere: a further function of setting, related to but not identical with its metaphorical function, is the creation of atmosphere. Atmosphere has been more talked about than defined; and because it refers to the suggested rather than the stated, it may be impossible to define satisfactorily.
g. Setting as the dominant element: like character setting may be the element of primary importance in a particular story or even in the work of a particular author.
h. Time as the dominant element: In many works of fiction the time in which the action occurs is of the highest importance.
i. Place as the dominant element: Work of fiction in which the spatial setting or place dominating are generally classified as examples of local color or regionalism. The regionalist seeks to investigate the effects on character of a particular geographical setting which means a spiritual as well as physical setting.

3. Plot

Plot is what happens in a story the story, how it is organized, and how it is developed. Usually it refers to chains which link cause and effect. Plot is the first and the most obvious quality of a story.

Subplot is a special problem relating to unity arises in some longer work in fiction. The problem of the subplots is a distinctivesequence of events, at least in part from the main plot. First, the subplots may be closely related to the main plot. A second possibility is that the work principle of unity is to be found in some element other than plot, for instance in the theme.

Plot as unity plot may be the single most important device making for unity in a particular story. Plot as expression; plot is of the highest importance in expressing the meaning of a work of fiction and it is busyness of plot to clarify causal relationships.

4. Character and Characterization

A character is an imagined person in a story whom we know from the words. Character is person in a narrative work of arts (such as a novel, play, television series or film).[92] Plot shows character, character causes plot. In most stories you cannot speak of the one without evoking the other. Characterization is exposition of character. Character is the concept of creating characters for a narrative.[93]We may prefer to reveal the person in directly by showing action (characterization by action or anecdote). Another writer shows characterization by a series of anecdotes, a telling, in a summary which is common in fiction.[94]

Character is the mental, emotional, and social qualities to distinguish one entity from another (people, animals, spirits, automatons, pieces of furniture, and other animated objects). Character development is the change that a character undergoes from the beginning of a story to the end. Character is easy to distinguish that young children can note this. The importance of a character to the story determines how fully the character is developed. Characters can be primary, secondary, minor, or main.

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[92] Baldick (2001, 37) and Childs and Fowler (2006, 23). See also "character, 10b" in Trumble and Stevenson (2003, 381): "A person portrayed in a novel, a drama, etc; a part played by an actor".

[93] Harrison, Martin. The Language of Theatre. London: Routledge.1998, p. 51-51

[94] Baldick (2001, 37) and Childs and Fowler (2006, 23). See also "character, 10b" in Trumble and Stevenson (2003, 381): "A person portrayed in a novel, a drama, etc; a part played by an actor".

Function of simple characters. Consistency should be no problem with simple characters, for the simple character is by definition consistent. What many readers object to in simple characters is that they are consistent at the price of complexity, and their lack of complexity violates our sense of the human personality. There is some truth in this charge, but we must recognize that the simple character can perform many important functions in the work of fiction.

a) Simplicity and lifelikeness: we have said that human beings are more lifelike than simple characters. The use of simple characters to fulfill minor roles in a work of fiction satisfy my sense neither of life, nor perhaps as it really (the eye god again). The simple character then can serve very well as minor character in fiction, contributing as we have seen to our sense of the overall lifelikeness of the story.

b) Simplicity and imagination. The simple character is not limited in fiction to use a minor character part of the background against which the main action is played out. Simple character is the more likely to appear in a major role as the writer drifts away from realism. Finally that kind of simple character, namely stereotype, may appear in a minor role in serious fiction but will play a major part as a general rule only in interior fiction.

c) Evaluation of types of characters. It is then an over simplification to assert without qualification that the complex character is a greater achievement than the simple. If we think of character in itself, divorced from the other elements of fiction, we may place a high value on complexity. But if we examine character in the light of the story as a whole, we must see that complexity is not necessarily a greater virtue than simplicity. We must always ask what the character contributes to the story, and the author must always choose the kind of character appropriate to his overall purpose.

5. Point of view

The author who chooses to exploit his godlike knowledge of the universe he has created will employ the omniscient narrator.

Within the framework of the work of fiction, the omniscient narrator knows everything. He can enter the mind of any character and tell the reader directly what the character is thinking. He can at one moment be in the city, and at the next in the country. In one paragraph he can be with us in the present, and the next he can take us into the past.

The alternative to the omniscient narrator is the limited narrator. As has been implied, limited narration is always artificial, since there are in truth no limits to an author's knowledge of his own creation

The limited narrator is simply, a narrator who doesn't know everything. He may appear both in stories telling from the inside (first person narration) and in stories telling from the outside (third person narrator).

Point of view is from whose consciousness the reader hears, sees, and feels the story. A story's point of view is our window on its fictional world and gives us our single vision. Often we watch trough the view point of one character, but not always. Angle in fiction the makes all the difference.

Story tellers use three principal points of view. The first use is an observer or peripheral character. The second use is central to the story either as protagonist or participant. The third (and most common) used the third person he, she or they; and the story teller conveys only that one person's thoughts and feelings. We call this point of view limited omniscience-omniscient because it can read minds, limited because it cannot read all minds.

Another point of view is unlimited omniscience. More common one is the objective point of view which narrates action but does not report on anyone' ideas or feelings. Point of view often contributes to a short story's irony. Irony is the perception of incongruity or discrepancy- between words and meanings, between actions and reality, between narrator who is dishonest or stupid, who gives the reader an interpretation of the action which the writer expects the reader to distrust.

6. Conflict

Conflicts occur when the protagonist struggles against an antagonist (villain that goes against the protagonist), or opposing force.

Prose Fiction

An Introduction to the Semiotics of Narrative

Ignasi Ribó

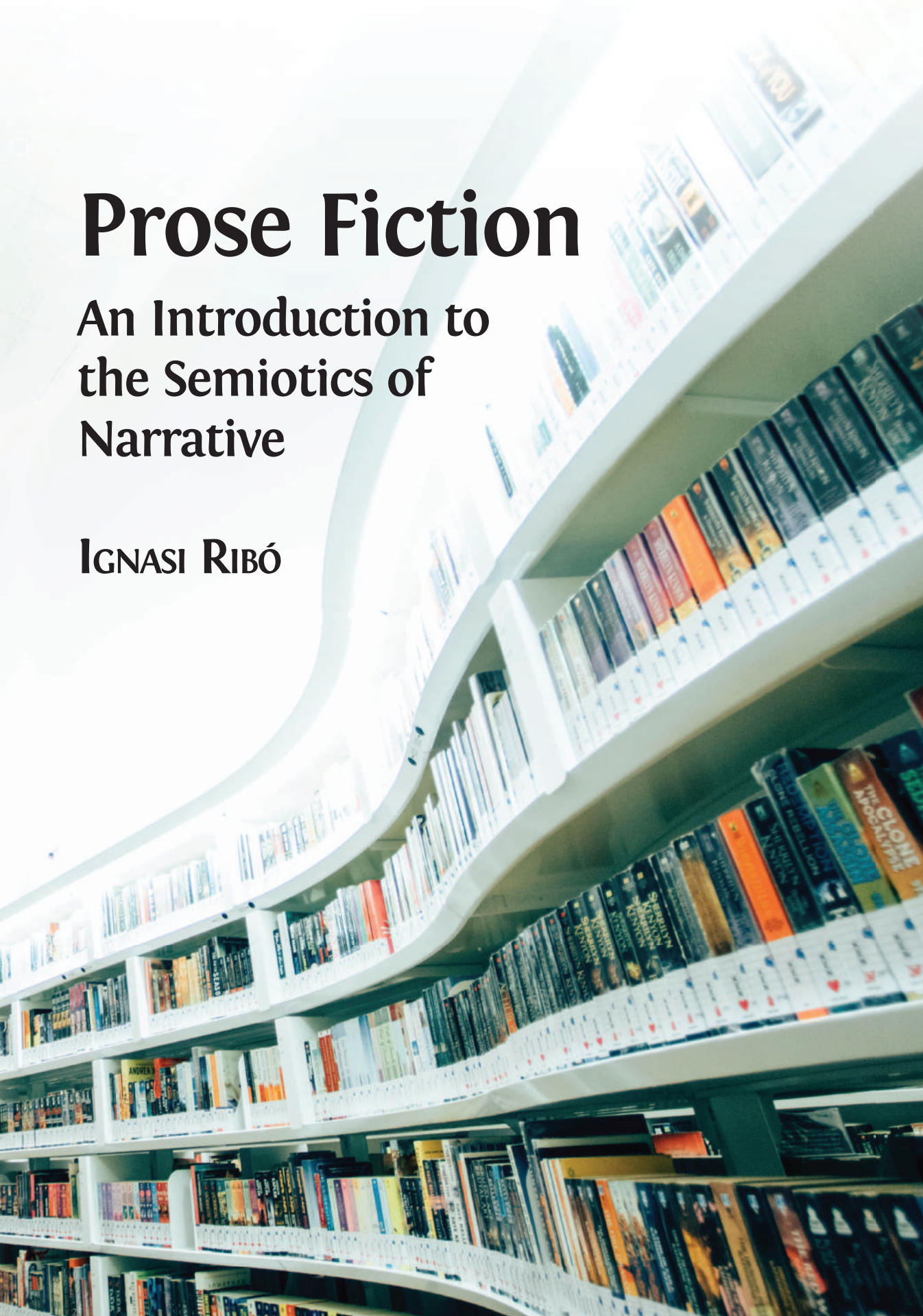

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Fig. 1.3
Boccaccio, *Decameron*: 'The Story of the Marchioness of Montferrat,'
15th century. Bibliothèque nationale de France, Public Domain, https://commons.wikimedia.org/wiki/File:Decameron_BNF_MS_Italien_63_f_22v.jpeg

of chivalry. We should not forget, however, that long narratives, similar in many ways to modern novels, had already been written and read in different cultures throughout history. For example, Lucius Apuleius' *The Golden Ass* (ca. 170), Longus' *Daphnis and Chloe* (2nd century), Murasaki Shikibu's *Tale of Genji* (1010), Ramon Llull's *Blanquerna* (1283), or Luo Guanzhong's *Romance of the Three Kingdoms* (ca. 1321), amongst many others.

Due to their difference in length, short stories and novels also tend to differ from each other in certain respects:

- Short stories need to focus on a few characters, a limited number of environments, and just one sequence of events. They cannot afford to digress or add unnecessary complications to the plot. Density, concentration, and precision are essential elements of good short-story writing.
- Novels, on the other hand, can explore many different characters, environments, and events. The story can be enriched with subplots and complications that add perspective, dynamism, and interest to the novel. Characters have room to evolve and the author can introduce digressions and commentary without undermining the form. Scope, breadth, and sweep are essential elements of good novel writing.

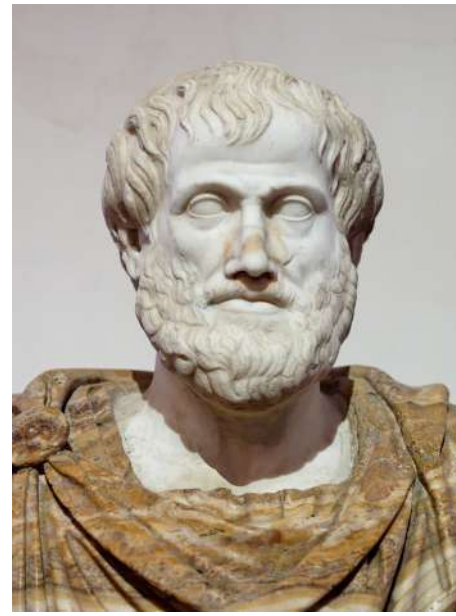


Fig. 2.1
Bust of Aristotle. Marble Roman copy after a Greek bronze original by Lysippos from 330 BC. Ludovisi Collection, photograph by Jastrow (2006), Public Domain, https://commons.wikimedia.org/wiki/File:Aristotle_Altemps_Inv8575.jpg

First, we will discuss more precisely the distinction between story and plot, clarifying what we understand by an 'event' and the different ways in which the events of a narrative can be connected. Then we will look at the mechanisms of emplotment, the specific operations that can be applied to a story when arranging it into a plot. By arranging events in a meaningful and coherent structure that has a beginning, a middle, and an end, these mechanisms can result in many kinds of plot. We will look at a few of these, which are quite common in prose fiction. Most of these plots are motivated by a conflict, which can be external or internal, and lead to some form of resolution. We will look at this 'story as war' analogy and present a five-stage general structure that can be found in many narrative plots. Finally, we will discuss two important mechanisms of emplotment at the micro level, suspense and surprise, which are often used by writers to engage readers and hook them to the narrative.

2.1 The Thread of Narrative

As we pointed out earlier, the story is the message that the narrator communicates to the narratee in a narrative. In this sense, it refers to a set of events happening in an alternative world, which we call the storyworld. We can define narrative events as changes of state occurring in the storyworld.[4] Such a world could be an accurate reflection of the lifeworld of the writer and his readers or an imaginary world that has never actually

4 David Herman, 'Events and Event-Types', in *Routledge Encyclopedia of Narrative Theory*, ed. by David Herman, Manfred Jahn, and Marie-Laure Ryan (London, UK: Routledge, 2005), pp. 151–52, https://doi.org/10.4324/9780203932896

In reality, however, things are not so simple. Rather than being two separate entities, space and time are intimately connected in what physicists call space-time continuum and literary theorists refer to as the chronotope.[1] In English, we say that 'events take place,' reflecting the realisation that events can never happen separated from space, or rather from a particular place. In fact, the distinction between space and time is only an abstraction, an attempt to untangle and better understand the complex processes that make up our own lifeworld. Similarly, the distinction between environments (space) and events (time) in the storyworld should be taken as an abstraction to help us to understand the structure of narrative. Actually, both are intimately related and often intersect in complex ways.

And it is not just environments and events that are interconnected. In the previous chapter, when analysing the process of emplotment, we have seen some of the close connections that link events with characters. Similarly, environments and characters are also intimately connected with each other. Environments are more than just an objective background, or a stage filled with things (landscapes, buildings, furniture, etc.) where characters act. At a fundamental level, environments are the meaningful entanglements of characters with their own world, often represented in narrative as the subjective or psychological aspect of setting.

In this chapter, we will discuss in some detail how the environments of the storyworld are arranged in narrative. We will begin by defining what we understand by environment and the crucial role of environments in building the world of short stories and novels. We will then distinguish two basic ways to arrange environments into a fictional setting: as a topographical layout of natural and artificial things in space or as atmospheric relationships between those same things and the characters of the story. This distinction will allow us to present a typology with four major kinds of setting that may be found in prose fiction: irrelevant, functional, mental, and symbolic. We will then see how literary narratives use description to represent the setting and induce in the reader's mind a vivid image of the storyworld. Finally, we will discuss the notion of verisimilitude and show how literary description can be used to encourage readers to read fictional stories as if they were happening in the 'real' world.

3.1 The World of Narrative

All narratives involve the creation of a particular world, the world of the story or storyworld, with its own temporal and spatial existents.[2] Most

1 Mikhail M. Bakhtin, *The Dialogic Imagination: Four Essays*, trans. by Michael Holquist and Caryl Emerson (Austin, TX: University of Texas Press, 2011).

2 See David Herman, *Basic Elements of Narrative* (Chichester, UK: Wiley-Blackwell, 2009), https://doi.org/10.1002/9781444305920

4. Characterisation

The worlds of prose fiction are not only made of events arranged into plots and environments arranged into settings. In order to have a story, there must also be characters. The arrangement of characters in the story is called characterisation. But what are characters? Why are they so necessary for narrative? What kinds of characters do we find in fiction stories? How are they characterised and represented? These are some of the questions that will occupy us in this last chapter dedicated to the elements of story.

A character is any entity in the story that has agency, that is, who is able to act in the environments of the storyworld. Characters are most often individuals (e.g. Ivan Karamazov in *The Brothers Karamazov*, Werther in *The Sorrows of Young Werther*, or Henry Jekyll in *Dr Jekyll and Mr Hyde*), but there are some special cases where we find collective or choral characters (e.g. Thebans in *Oedipus Rex*, or the group of neighbourhood boys in *The Virgin Suicides*). Characters are most often human beings, but they can also be nonhuman animals or other entities who behave like humans (e.g. the White Rabbit in *Alice in Wonderland* — Figure 4.1 — or the robots in *I, Robot*). Only exceptionally are the characters of short stories and novels animals or other entities without human features (e.g. the white whale in *Moby Dick*, or the aliens in *2001: A Space Odyssey*). In our discussion of character, therefore, we will assume that the characters of the story are human or human-like individuals, although there are notable exceptions to this rule.

That characters are important for narrative fiction can be seen from the fact that the titles of many short stories and novels are taken from the proper names of their main characters (protagonists). These are sometimes called eponymous characters and are very frequent in the history of literature. Some of the most famous novels are named after their protagonists, such as *Don Quixote*, *Robinson Crusoe*, *Jane Eyre*, *Madame Bovary*, or *Anna Karenina*. Even when characters do not appear in the title, they are still the most relevant existents in a great majority of short stories and novels. This seems to be a consequence of the nature and function

https://doi.org/10.11647/OBP.0187.04

There are times when fictional characters are somehow able to transcend their individuality and typicality in order to attain some form of universality. Universal characters represent a general aspect of humanity or the whole human species. For example, Don Quixote and Sancho Panza, the protagonists of Cervantes' novel, have become a pair of universal characters, representing two fundamental and contrasting attitudes towards life that are generally found in human beings: idealism and materialism (Fig. 4.4). Similarly, in her desperate longing for a more fulfilling and authentic life, Emma Bovary may represent the alienation of all individuals in modern society, torn between reveries of plenitude and the unsatisfactory realities of everyday existence.

4.3 Kinds of Character

A certain number of typologies have been proposed to classify and distinguish analytically the kinds of character most often found in fiction. Two of these typologies are still used extensively by critics and writers, even though their psychological assumptions only make them applicable to realist fiction, that is, to storyworlds that attempt to imitate or replicate our own lifeworld.[5]

The first one of these typologies[6] distinguishes characters based on their degree of individuation:

1. *Flat characters*: These characters, which are sometimes equated to what we have called types in the previous section, are constructed around a limited number of traits or characteristics. Of course, there are varying degrees of flatness. At one extreme, we would find characters with a single characteristic or trait, such as a messenger whose only purpose in the story is to deliver a message at a certain point of the plot. Flat characters can be a bit more individuated than that, but their identity, personality, and purpose can often be expressed by a single sentence. They tend to lack depth or complexity and are easily recognisable and remembered by the reader. Because of their limited qualities, however, they also tend to seem quite artificial and most readers have a hard time identifying with them or taking them for real human beings. Minor or secondary characters in fiction tend to be flat, even when the main characters in the same story are not. In genres like comedy or adventure, flat characters are quite common. And some writers, like Charles Dickens or H. G. Wells,

5 See Seymour Benjamin Chatman, *Story and Discourse: Narrative Structure in Fiction and Film* (Ithaca, NY: Cornell University Press, 2000).

6 E. M. Forster, *Aspects of the Novel* (San Diego, CA: Harcourt Brace Jovanovich, 1985).

seemed quite inclined to populate their novels and short stories with flat secondary characters. An example of a flat character from the Harry Potter series is Argus Filch, the caretaker of Hogwarts, characterised almost exclusively by his love for cats and obsession with catching students who break the rules of the school (Fig. 4.5).

Fig. 4.5
Warner Bros. Studio Tour, London: The Making of Harry Potter. Source: Karen Roe, CC BY 2.0, https://commons.wikimedia.org/wiki/File:The_Making_of_Harry_Potter_29-05-2012_(7358054268).jpg

2. *Round characters*: These characters are endowed with many different traits or characteristics, some of which might even be contradictory and cause them internal or psychological conflicts. With well-crafted characterisation, round characters can appear to be as complex and multifaceted as any human being we might encounter in our world. Major characters in realist prose fiction, such as Emma Bovary, Rodion Raskolnikov, or Anna Karenina, are often round. And there are writers, like Gustave Flaubert or Jane Austen, who tend to characterise even minor characters with such nuance and complexity that they appear to be round, even though they might not have a prominent role in the story. An example of a round character in the Harry Potter novels is Hermione Granger, one of Harry's closest friends at Hogwarts. While roundness of character is the aim of many realist and popular stories, in modernist and postmodernist fiction the notion of character has often been questioned. In Robert Musil's novel *The Man Without Qualities*, for example, the main character is presented as devoid of any of those stable

stories within stories creates unresolvable paradoxes, as in André Gide's *The Counterfeiters*, where one of the characters intends to write the same novel in which he appears.

All these self-conscious devices, rather than contradicting the general framework of narrative that we have been presenting here, are exceptions that confirm the rule. The fact is that most fictions establish, explicitly or implicitly, a clear distinction between the level of discourse and the level of story. Narration, which occurs at the level of discourse, is the communicative act between a narrator and a narratee responsible for expressing or representing all the elements of the story.

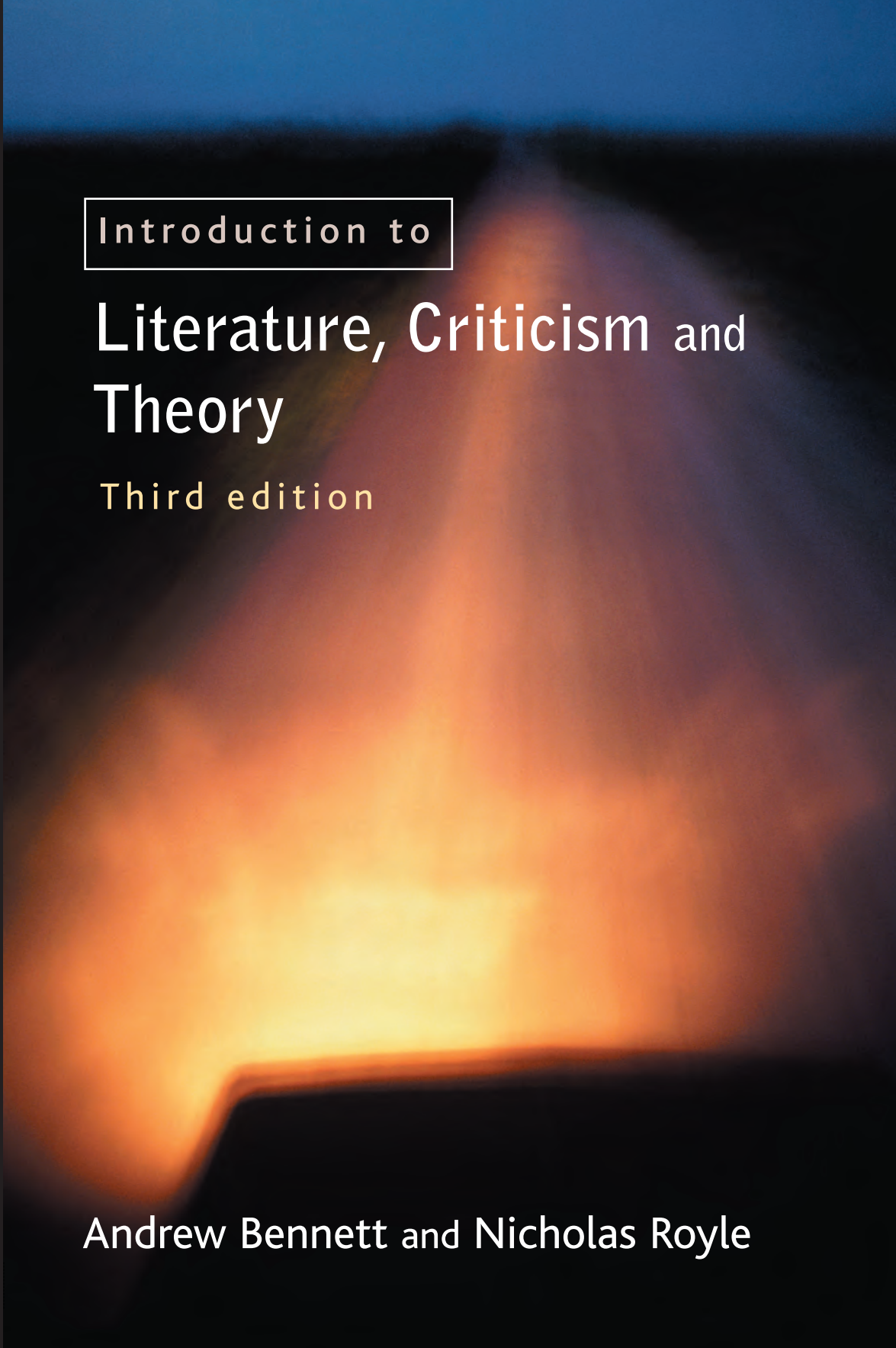
5.2 Narrators and Narratees

The narrator of a story is the figure of discourse that tells the story. This definition seems simple enough, but in practice there are several complications. Similarly, the narratee is the figure of discourse to whom the narrator tells the story. Again, there are quite a few practical considerations about this figure that we need to clarify.

In most short stories and novels, the narrator can be easily identified by asking the question: 'who speaks?' (or 'who writes?' when the story is supposedly told in writing). Very often, however, this narrator does not have a name or a clear identity, so we speak of an unknown narrator, even though we can sometimes infer details about his or her life, personality, or opinions from the narration itself. In other cases, the narrator is just a voice with no subjective dimension whatsoever.

One aspect of this voice that is usually obvious from the narrative is the so-called person. Founded on a grammatical distinction, the notion of person allows us to discern the underlying relationships between the narrator, the narratee, and the characters in the story:

1. *First-person narrator*: The narrator tends to use the first person quite often ('I went out at five o'clock.'), even if other grammatical persons can also be used. This kind of narrative voice is commonly found in stories told by a narrator who is also the protagonist, or at least a relevant character, in the plot. The narratee may or may not be explicit. For example, J. D. Salinger's *The Catcher in the Rye* (Fig. 5.2) is narrated by its seventeen-year-old protagonist, Holden Caulfield, who naturally tends to talk quite a lot about himself.
2. *Second-person narrator*: The narrator uses the second person most of the time ('You went out at five o'clock.'). The second person explicitly refers to the narratee, which in some cases might be the narrator himself. This kind of voice is difficult to sustain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8. Character

Characters are the life of literature: they are the objects of our curiosity and fascination, affection and dislike, admiration and condemnation. Indeed, so intense is our relationship with literary characters that they often cease to be simply 'objects'. Through the power of identification, through sympathy and antipathy, they can become part of how we conceive ourselves, a part of who we are. More than two thousand years ago, writing about drama in the *Poetics*, Aristotle argued that character is 'secondary' to what he calls the 'first essential' or 'lifeblood' of tragedy – the plot – and that characters are included 'for the sake of the action' (Aristotle 1965, 40). Considerably more recently in an essay on the modern novel, 'The Art of Fiction' (1884), the novelist Henry James asked, 'What is character but the determination of incident? What is incident but the illustration of character?' (James 1986, 174). While Aristotle makes character 'secondary' to plot, James suggests that the two are equal and mutually defining. Indeed, the novels and plays we respond to most strongly almost invariably have forceful characters as well as an intriguing plot. Our memory of a particular novel or play often depends as much on our sense of a particular character as on the ingenuities of the plot. Characters in books have even become part of our everyday language. Oedipus, for example, has given his name to a condition fundamental to psychoanalytic theory, whereby little boys want to kill their fathers and sleep with their mothers. Mrs Malaprop in Sheridan's play *The Rivals* (1775) has given us the word 'malapropism' when someone uses, for example, the word 'illiterate' to mean 'obliterate' (see I.2.178). A 'romeo' denotes a certain kind of amorous young man resembling the hero of Shakespeare's *Romeo and Juliet* (*c.*1595). When we refer to someone as a 'scrooge', we mean a miser, but when we do so we are alluding, knowingly or not, to the protagonist of Charles

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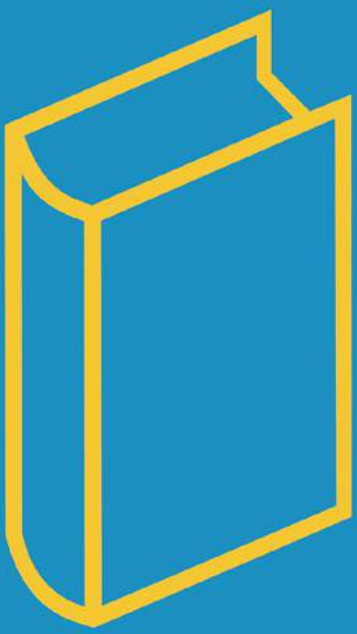
Mario Klarer



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1
WHAT IS LITERATURE, WHAT IS A TEXT?

Look up the term **literature** in any current encyclopedia and you will be struck by the vagueness of its usage as well as by an inevitable lack of substance in the attempts to define it. In most cases, literature is referred to as the entirety of written expression, with the restriction that not every written document can be categorized as literature in the more exact sense of the word. The definitions, therefore, usually include additional adjectives such as "aesthetic" or "artistic" to distinguish literary works from texts of everyday use such as telephone books, newspapers, legal documents, and scholarly writings.

Etymologically, the Latin word "litteratura" is derived from "littera" (letter), which is the smallest element of alphabetical writing. The word **text** is related to "textile" and can be translated as "fabric": just as single threads form a fabric, so words and sentences form a meaningful and coherent text. The origins of the two central terms are, therefore, not of great help in defining literature or text. It is more enlightening to look at literature or text as cultural and historical phenomena and to investigate the conditions of their production and reception.

Underlying literary production is certainly the human wish to leave behind a trace of oneself through creative expression, which will exist detached from the individual and, therefore, outlast its creator. The earliest manifestations of this creative wish are prehistoric paintings in caves, which hold "encoded" information in the form of visual signs. This visual component inevitably remains closely connected to literature throughout its various historical and social manifestations. In

fiction. Even the Bible includes stories such as "Job" (*c.* fifth-fourth century BC) or "The Prodigal Son" (*c.* first century BC), whose structures and narrative patterns resemble modern short stories. Other forerunners of this subgenre of fiction are ancient satire and the aforementioned romance.

Indirect precursors of the short story are medieval and early modern narrative cycles. The Arabian *Thousand and One Nights,* compiled in the fourteenth and subsequent centuries, Giovanni Boccaccio's (1313–75) Italian *Decamerone* (1349–51), and Geoffrey Chaucer's (*c.* 1343–1400) *Canterbury Tales* (*c.* 1387) anticipate important features of modern short fiction. These cycles of tales are characterized by a frame narrative—such as the pilgrimage to the tomb of Saint Thomas Becket in the *Canterbury Tales*—which unites a number of otherwise heterogeneous stories. On their way to Canterbury, the pilgrims tell different, rather self-contained tales which are only connected through Chaucer's use of a frame story.

The short story emerged as a more or less independent text type at the end of the eighteenth century, parallel to the development of the novel and the newspaper. Regularly issued magazines of the nineteenth century exerted a major influence on the establishment of the short story by providing an ideal medium for the publication of this prose genre of limited volume. Forerunners of these journals are the *Tatler* (1709–11) and the *Spectator* (1711–12; 1714), published in England by Joseph Addison and Richard Steele, who tried to address the educated middle class in short literary texts and commentaries of general interest (essays). Even today, magazines like the *New Yorker* (since 1925) still function as privileged organs for first publications of short stories. Many of the early novels appeared as serial stories in these magazines before being published as independent books, for example, Charles Dickens's (1812–70) *The Pickwick Papers* (1836–37).

While the novel has always attracted the interest of literary theorists, the short story has never actually achieved the status held by book-length fiction. The short story, however, surfaces in comparative definitions of other prose genres such as the novel or its shorter variants, the novella and novelette. A crucial feature commonly identified with the short story is its impression of unity since it can be read—in contrast to the novel—in one sitting without interruption. Due to restrictions of length, the plot of the short story

a)
Plot

Plot is the logical interaction of the various thematic elements of a text which lead to a change of the original situation as presented at the outset of the narrative. An ideal traditional plot line encompasses the following four sequential levels:

> exposition—complication—climax or turning point—resolution

The **exposition** or presentation of the initial situation is disturbed by a **complication** or **conflict** which produces suspense and eventually leads to a climax, crisis, or turning point. The **climax** is followed by a resolution of the complication (French **denouement)**, with which the text usually ends. Most traditional fiction, drama, and film employ this basic plot structure, which is also called linear plot since its different elements follow a chronological order.

In many cases—even in linear plots—**flashback** and foreshadowing introduce information concerning the past or future into the narrative. The opening scene in Billy Wilder's (1906–2002) *Sunset Boulevard* (1950) is a famous example of the **foreshadowing** effect in film: the first-person narrator posthumously relates the events that lead to his death while drifting dead in a swimming pool. The only break with a linear plot or chronological narrative is the anticipation of the film's ending—the death of its protagonist—thus eliminating suspense as an important element of plot. This technique directs the audience's attention to aspects of the film other than the outcome of the action (see also Chapter 2, §4: Film).

The *drama of the absurd* and the *experimental novel* deliberately break with linear narrative structures while at the same time maintaining traditional elements of plot in modified ways. Many contemporary novels alter linear narrative structures by introducing elements of plot in an unorthodox sequence. Kurt Vonnegut's (1922–) postmodern novel *Slaughterhouse-Five* (1969) is a striking example of experimental plot structure which mixes various levels of action and time, such as the experiences of a young soldier in World War II, his life in America after the war, and a science-fiction-like dream-world in

b)
Characters

While formalist approaches to the study of literature traditionally focus on plot and narrative structure, methods informed by psychoanalysis shift the center of attention to the text's characters. A psychological approach is, however, merely one way of evaluating characters; it is also possible to analyze character presentation in the context of narratological structures. Generally speaking, characters in a text can be rendered either as types or as individuals. A typified character in literature is dominated by one specific trait and is referred to as a **flat character**. The term **round character** usually denotes a persona with more complex and differentiated features.

Typified characters often represent the general traits of a group of persons or abstract ideas. Medieval allegorical depictions of characters preferred **typification** in order to personify vices, virtues, or philosophical and religious positions. The Everyman-figure, a symbol of the sinful Christian, is a major example of this general pattern in the representation of man in medieval literature. In today's advertisements, typified character presentations re-emerge in magazines, posters, film, and TV. The temporal and spatial limitations of advertising media revive allegorical and symbolic characterization for didactic and persuasive reasons comparable to those of the Middle Ages.

A good example of the purposeful use of typified character presentation occurs in the opening scene of Mark Twain's, "A True Story" (1874).

> It was summer-time, and twilight. We were sitting on the porch of the farmhouse, on the summit of the hill, and "Aunt Rachel" was sitting respectfully below our level, on the steps—for she was our servant, and colored. She was a mighty frame and stature; she was sixty years old, but her eye was undimmed and her strength unabated. She was a cheerful, hearty soul, and it was no more trouble for her to laugh than it is for a bird to sing. [...] I said: "Aunt Rachel, how is it that you've lived sixty years and never had any trouble?" She stopped quaking: She paused, and there was a moment of silence. She turned her face

the facade of his characters by dwelling solely on exterior aspects of dialogue and actions without further commentary or evaluation. Dramatic presentation, however, only pretends to represent objectively while it always necessarily remains biased and perspectival.

As shown above, one can distinguish between two basic kinds of characters (round or flat), as well as between two general **modes of presentation** (showing or telling):

Kinds of characters	
typified character	*individualized character*
flat	round
Modes of presentation	
explanatory method	*dramatic method*
narration	dialogue—monologue

Similar to typification and individualization, explanatory and dramatic methods hardly ever appear in their pure forms, but rather as hybrids of various degrees, since the narrator often also acts as a character in the text. Questions concerning character presentation are always connected with problems of narrative perspective and are therefore hard to isolate or deal with individually. The following section on point of view thus inevitably touches upon aspects already mentioned.

c)
Point of view

The term **point of view,** or narrative perspective, characterizes the way in which a text presents persons, events, and settings. The subtleties of narrative perspectives developed parallel to the emergence of the novel and can be reduced to three basic positions: the action of a text is either mediated through an exterior, unspecified narrator (omniscient point of view), through a person involved in the action (first-person narration), or presented without additional commentary (figural narrative situation). This tripartite structure can

narratological changes when Marian says: "Now that I was thinking of myself in the first person singular again I found my own situation much more interesting" (ibid.: 290). Atwood's novel is an obvious example of how thematic aspects of a text, in this case the protagonist's loss of identity, can be emphasized on a structural level by means of narratological techniques such as point of view.

d) Setting

Setting is another aspect traditionally included in analyses of prose fiction, and it is relevant to discussions of other genres, too. The term 'g' "setting" denotes the location, historical period, and social surroundings in which the action of a text develops. In James Joyce's *Ulysses* (1922), for example, the setting is clearly defined as Dublin, 16 June 1904. In other cases, for example William Shakespeare's (1564–1616) *Hamlet* (*c.* 1601), all we know is that the action takes place in medieval Denmark. Authors hardly ever choose a setting for its own sake, but rather embed a story in a particular context of time and place in order to support action, characters, and narrative perspective on an additional level.

In the gothic novel and certain other forms of prose fiction, setting is one of the crucial elements of the genre as such. In the opening section of "The Fall of the House of Usher" (1840), Edgar Allan Poe (1809–49) gives a detailed description of the building in which the uncanny short story will evolve. Interestingly, Poe's setting, the House of Usher, indirectly resembles Roderick Usher, the main character of the narrative and lord of the house.

> I know not how it was—but, with the first glimpse of the building, a sense of insufferable gloom pervaded my spirit. […] I looked upon the scene before me—upon the mere house, and the simple landscape features of the domain—upon the bleak walls—upon the vacant eye-like windows—upon a few rank sedges—and upon a few white trunks of decayed trees—with an utter depression of soul which I can compare to no earthly sensation […]. Perhaps the eye of a scrutinising observer might have discovered a barely perceptible fissure, which, extending

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A Guidebook and Resource

Steven J. Taylor
Robert Bogdan
Marjorie L. DeVault

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Taylor's study of World War II conscientious objectors, or COs, started when a colleague showed him a monograph titled *Out of Sight, Out of Mind* edited by Wright (1947). The monograph contained graphic accounts of institutional abuse and neglect and was published by a group named the National Mental Health Foundation. Although Taylor had studied the history of state institutions for people with psychiatric and intellectual disabilities in America and written about public exposés of these institutions, he was only vaguely familiar with exposés of state mental hospitals and training schools in the 1940s. He had never heard of the National Mental Health Foundation, even though *Out of Sight, Out of Mind* listed a series of prominent national sponsors and supporters, including Eleanor Roosevelt, wife of deceased President FDR; Walter Reuther, labor leader; and Henry Luce, founder of *Time* magazine. The monograph only mentioned in passing that the accounts had been written by COs. Taylor was intrigued that he and colleagues knowledgeable about the history of institutions were unfamiliar with or only vaguely aware of this history.

Historical researchers distinguish between primary and secondary sources. Primary sources are documents or artifacts created during the time under study and can include reports, letters, photos, newsletters, diaries, and similar materials. Secondary sources are secondhand accounts by people attempting to analyze and interpret an activity or event. Some sociologists and others write historical accounts based solely on secondary sources, but primary sources are generally considered essential for sound historical research.

Taylor first searched for secondary sources on World War II COs. He found several books that described the Civilian Public Service, which was established to oversee nonmilitary service conducted by COs who were conscientiously opposed to participation in the military based on religious training and beliefs. Although these books had little to say about COs assigned to state institutions, they helped Taylor understand the religious backgrounds of the COs and the organizations that worked hard to convince the government to permit religious objectors to perform alternative service. Just as important, these secondary sources cited primary sources and listed repositories of archival materials on the World War II COs. Archival researchers can use the same snowball technique employed by participant observers and interviewers: study documents to identify other potentially fruitful sources. One document leads to others, which lead to others, which lead to others. Through this process, Taylor identified two other books that focused on specific aspects of the work of COs at state institutions.

Three major historical peace churches—the Society of Friends (Quakers), the Mennonite Church, and the Church of the Brethren—were the driving forces behind the establishment of the Civilian Public Service and sponsored and paid the living expenses of over 12,000 COs representing over

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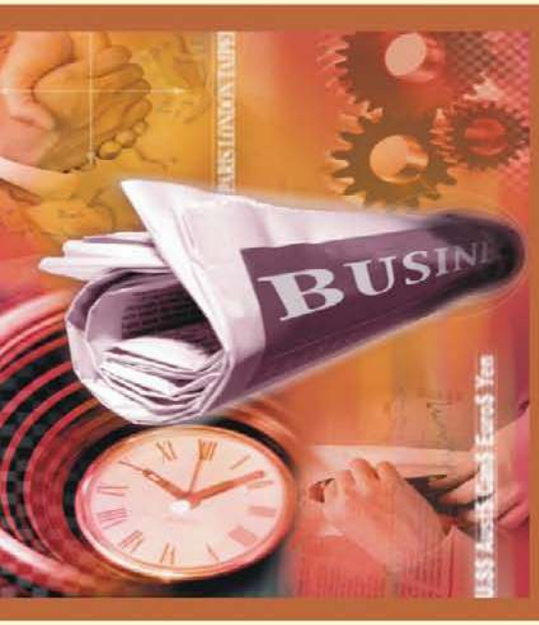
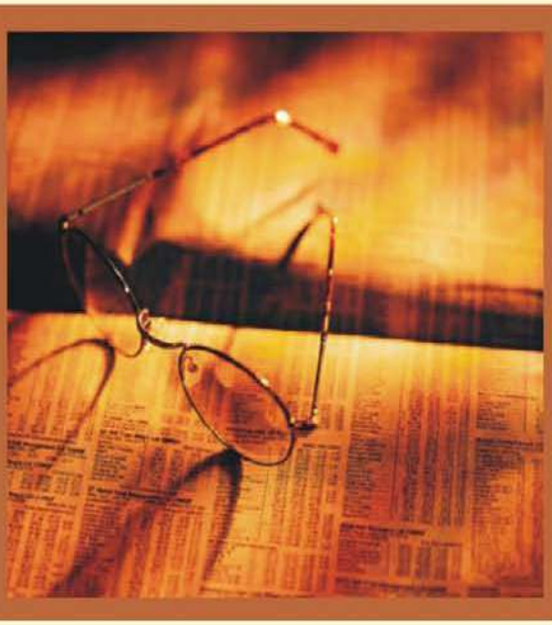
Methods and Techniques

(SECOND REVISED EDITION)





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6

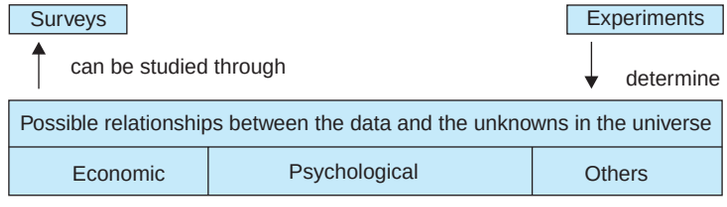
Methods of Data Collection

The task of data collection begins after a research problem has been defined and research design/plan chalked out. While deciding about the method of data collection to be used for the study, the researcher should keep in mind two types of data viz., primary and secondary. The *primary data* are those which are collected afresh and for the first time, and thus happen to be original in character. The *secondary data*, on the other hand, are those which have already been collected by someone else and which have already been passed through the statistical process. The researcher would have to decide which sort of data he would be using (thus collecting) for his study and accordingly he will have to select one or the other method of data collection. The methods of collecting primary and secondary data differ since primary data are to be originally collected, while in case of secondary data the nature of data collection work is merely that of compilation. We describe the different methods of data collection, with the pros and cons of each method.

COLLECTION OF PRIMARY DATA

We collect primary data during the course of doing experiments in an experimental research but in case we do research of the descriptive type and perform surveys, whether sample surveys or census surveys, then we can obtain primary data either through observation or through direct communication with respondents in one form or another or through personal interviews.* This, in other words, means

* An experiment refers to an investigation in which a factor or variable under test is isolated and its effect(s) measured. In an experiment the investigator measures the effects of an experiment which he conducts intentionally. Survey refers to the method of securing information concerning a phenomena under study from all or a selected number of respondents of the concerned universe. In a survey, the investigator examines those phenomena which exist in the universe independent of his action. The difference between an experiment and a survey can be depicted as under:



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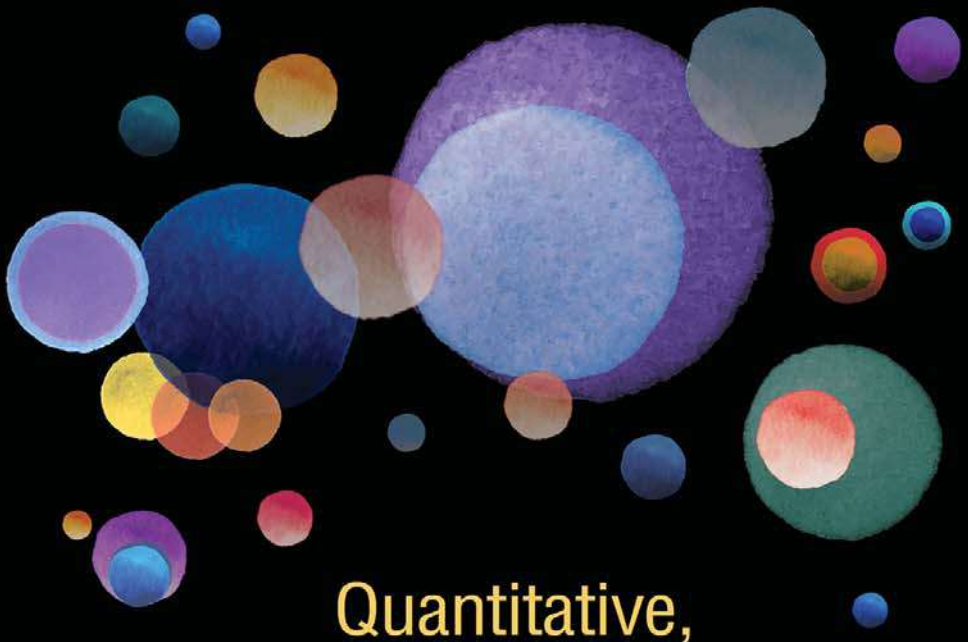

Quantitative, Qualitative, Mixed Methods, Arts-Based, and Community-Based Participatory Research Approaches

PATRICIA LEAVY

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CHAPTER 5

Qualitative Research Design

Qualitative approaches to research value depth of meaning and people's subjective experiences and their meaning-making processes. These approaches allow us to build a robust understanding of a topic, unpacking the meanings people ascribe to their lives—to activities, situations, circumstances, people, and objects. Methodologically, these approaches rely on inductive designs aimed at generating meaning and producing rich, descriptive data. Qualitative approaches are most commonly used in exploratory or descriptive research (although they can be used in research with other goals).

Structure of a Research Proposal

The qualitative paradigm is extremely diverse methodologically and theoretically. Additionally, qualitative research projects often follow malleable designs in which the methodology is revised in accord with new learning acquired as the research unfolds. For all of these reasons, templates are highly problematic. Every research proposal will look somewhat different, just as each project will follow a different plan. However, to some extent, even if the order and weight differ, research proposals typically include some mention of most of what is suggested in Template 5.1. Bear in mind that the template can be greatly modified or reimagined to suit your specific project.

Research Methods Handbook

Introductory guide to research methods for social research

Stuart MacDonald & Nicola Headlam, CLES

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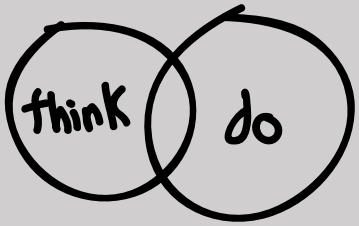
The Centre for Local Economic Strategies (CLES) is a not-for-profit think-tank, consultancy and network of subscribing organisations specialising in regeneration, local economic development and local governance, which was founded in 1986.



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Preface

Effective research methods are the tools by which information is gathered. Without the appropriate design and use of research methods, we are unlikely to gather quality information and as such create a shaky foundation to any review, evaluation or future strategy. For CLES, the group of research methods contained within this handbook are the tool box, and like any tools need to be used in the right way - for the right job. Research methods, if understood and used appropriately can make your job a lot easier. At CLES we use a range of research methods in our policy and consultancy work and are skilled in using them. However, we do not believe that the use of research methods is the preserve of so called 'experts' and in all instances requires sophisticated knowledge and practice. Clearly, to be experts in their use, requires practice, but like any tool, the basic principle behind its use can be understood and applied, by all. Furthermore, for those who have no intention of actually using a research method, it is important, perhaps in your work in overseeing or commissioning research activity, to know what the purpose of particular research methods are. This enables you to assess the appropriateness of their use.

This handbook, therefore attempts on the one hand to explain and demystify the world of research methods, whilst on the other it seeks to provide a starting point for their use. In this, we are not suggesting that using research methods is easy, but merely that it can be appreciated and undertaken by practitioners and non-research experts. We hope you enjoy this handbook which is linked to our annual training programme. This handbook, reflects our wider charitable aim to develop and improve the performance of the regeneration and local economic development sector. In this, we hope this handbook goes some way in helping to address some of the persistent issues faced by local places and communities and contributes to ensuring positive local change.

Neil McInroy

Chief Executive, Centre for Local Economic Strategies.

Types of method

In any form of research, you will be required to either count things and/or talk to people. We can broadly classify research methods using this distinction. These two types of research method and their output data are classified as:

Quantitative - as the name suggests, is concerned with trying to quantify things; it asks questions such as 'how long', 'how many' or 'the degree to which'. Quantitative methods look to quantify data and generalise results from a sample of the population of interest. They may look to measure the incidence of various views and opinions in a chosen sample for example or aggregate results.

Qualitative – concerned with a quality of information, qualitative methods attempt to gain an understanding of the underlying reasons and motivations for actions and establish how people interpret their experiences and the world around them. Qualitative methods provide insights into the setting of a problem, generating ideas and/or hypotheses.

The following table provides a breakdown of the key features of each of these categorisation of research method and data.

	Quantitative	**Qualitative**
Aim	The aim is to count things in an attempt to explain what is observed.	The aim is a complete, detailed description of what is observed.
Purpose	Generalisability, prediction, causal explanations	Contextualisation, interpretation, understanding perspectives
Tools	Researcher uses tools, such as surveys, to collect numerical data.	Researcher is the data gathering instrument.
Data collection	Structured	Unstructured
Output	Data is in the form of numbers and statistics.	Data is in the form of words, pictures or objects.
Sample	Usually a large number of cases representing the population of interest. Randomly selected respondents	Usually a small number of non-representative cases. Respondents selected on their experience.
Objective/ Subjective	Objective – seeks precise measurement & analysis	Subjective - individuals' interpretation of events is important
Researcher role	Researcher tends to remain objectively separated from the subject matter.	Researcher tends to become subjectively immersed in the subject matter.
Analysis	Statistical	Interpretive

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EDUCATIONAL RESEARCH

PLANNING, CONDUCTING AND EVALUATING QUANTITATIVE AND QUALITATIVE RESEARCH

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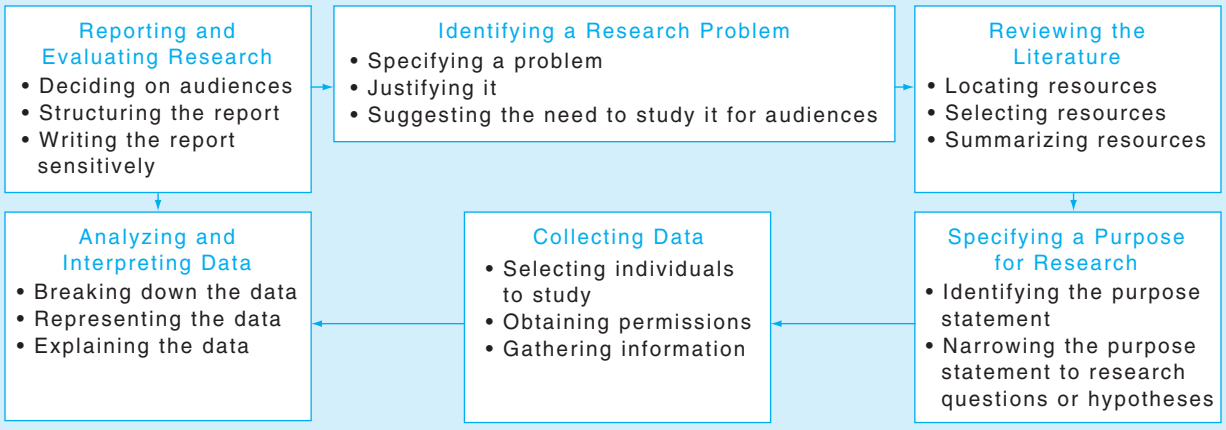
FIGURE 1.2

The Research Process Cycle



Identifying a Research Problem

You begin a research study by identifying a topic to study—typically an issue or problem in education that needs to be resolved. **Identifying a research problem** consists of specifying an issue to study, developing a justification for studying it, and suggesting the importance of the study for select audiences that will read the report. By specifying a "problem," you limit the subject matter and focus attention on a specific aspect of study. Consider the following "problems," each of which merits research:

- Teens are not learning how to connect to others in their communities
- Teenage smoking will lead to many premature deaths

These needs, issues, or controversies arise out of an educational need expressed by teachers, schools, policy makers, or researchers, and we refer to them as *research problems*. You will state them in introductory sections of a research report and provide a rationale for their importance. In a formal sense, these problems are part of a larger written section called the "statement of the problem," and this section includes the topic, the problem, a justification for the problem, and the importance of studying it for specific audiences such as teachers, administrators, or researchers.

Let's examine Maria's research to see how she will specify her study's research problem.

> Maria plans to study school violence and weapon possession in schools. She starts with a problem: escalating weapon possession among students in high schools. She needs to justify the problem by providing evidence about the importance of this problem and documenting how her study will provide new insight into the problem.

In her research, Marie will need to identify and justify the research problem that she is studying.

Reviewing the Literature

It is important to know who has studied the research problem you plan to examine. You may fear that you will initiate and conduct a study that merely replicates prior research.

However, faculty and advisors often fear that you will plan a study that does not build on existing knowledge and does not add to the accumulation of findings on a topic. Because of these concerns, reviewing the literature is an important step in the research process. **Reviewing the literature** means locating summaries, books, journals, and indexed publications on a topic; selectively choosing which literature to include in your review; and then summarizing the literature in a written report.

The skills required for reviewing the literature develop over time and with practice. You can learn how to locate journal articles and books in an academic library, access computerized databases, choose and evaluate the quality of research on your topic, and summarize it in a review. Library resources can be overwhelming, so having a strategy for searching the literature and writing the review is important. Let's examine Maria's approach to reviewing the literature.

> To inform her committee about the latest literature on school violence and to plan her own research, Maria needs to conduct a literature review. This process will involve becoming familiar with the university library holdings, spending time reviewing resources and making decisions about what literature to use, and writing a formal summary of the literature on school violence. She consults the library catalog at her university and plans to search the computerized databases.

In order to review the literature, Maria will need to become familiar with the literature and visit her university library.

Specifying a Purpose for Research

If your research problem covers a broad topic of concern, you need to focus it so that you can study it. A focused restatement of the problem is the *purpose statement*. This statement conveys the overall objective or intent of your research. As such, it is the most important statement in your research study. It introduces the entire study, signals the procedures you will use to collect data, and indicates the types of results you hope to find.

The **purpose for research** consists of identifying the major intent or objective for a study and narrowing it into specific research questions or hypotheses. The purpose statement contains the major focus of the study, the participants in the study, and the location or site of the inquiry. This purpose statement is then narrowed to research questions or predictions that you plan to answer in your research study. Let's check again with Maria to see how she will write a purpose statement and research questions.

> Maria now needs to write down the purpose of her study and formulate the questions she will ask of the individuals selected for her study. In draft after draft, she sketches this purpose statement, recognizing that it will provide major direction for her study and help keep her focused on the primary aim of her study. From this broad purpose, Maria now needs to narrow her study to specific questions or statements that she would like her participants to answer.

Maria will need to write a good purpose statement and the research questions for her study.

Collecting Data

Evidence helps provide answers to your research questions and hypotheses. To get these answers, you engage in the step of collecting or gathering data. **Collecting data** means identifying and selecting individuals for a study, obtaining their permission to study them, and gathering information by asking people questions or observing their behaviors. Of paramount concern in this process is the need to obtain accurate data from individuals

WHAT ARE THE FIVE PROCESS STEPS IN QUALITATIVE DATA COLLECTION?

There are five interrelated steps in the process of qualitative data collection. These steps should not be seen as linear approaches, but often one step in the process does follow another. The five steps are first to identify participants and sites to be studied and to engage in a sampling strategy that will best help you understand your central phenomenon and the research question you are asking. Second, the next phase is to gain access to these individuals and sites by obtaining permissions. Third, once permissions are in place, you need to consider what types of information will best answer your research questions. Fourth, at the same time, you need to design protocols or instruments for collecting and recording the information. Finally and fifth, you need to administer the data collection with special attention to potential ethical issues that may arise.

Some basic differences between quantitative and qualitative data collection are helpful to know at this point. Based on the general characteristics of qualitative research, qualitative data collection consists of collecting data using forms with general, emerging questions to permit the participant to generate responses; gathering word (text) or image (picture) data; and collecting information from a small number of individuals or sites. Thinking more specifically now,

- In *quantitative* research, we systematically identify our participants and sites through random sampling; in *qualitative* research, we identify our participants and sites on purposeful sampling, based on places and people that can best help us understand our central phenomenon.
- In both *quantitative* and *qualitative* research, we need permissions to begin our study, but in *qualitative* research, we need greater access to the site because we will typically go to the site and interview people or observe them. This process requires a greater level of participation from the site than does the *quantitative* research process.
- In both approaches, we collect data such as interviews, observations, and documents. In *qualitative* research, our approach relies on general interviews or observations so that we do not restrict the views of participants. We will not use someone else's instrument as in quantitative research and gather closed-ended information; we will instead collect data with a few open-ended questions that we design.
- In both approaches, we need to record the information supplied by the participants. Rather than using predesigned instruments from someone else or instruments that we design, in qualitative research we will record information on self-designed protocols that help us organize information reported by participants to each question.
- Finally, we will administer our procedures of *qualitative* data collection with sensitivity to the challenges and ethical issues of gathering information face-to-face and often in people's homes or workplaces. Studying people in their own environment creates challenges for the qualitative researcher that may not be present in *quantitative* research when investigators mail out anonymous questionnaires or bring individuals into the experimental laboratory.

THIRD EDITION

RESEARCH DESIGN

Qualitative, Quantitative, and Mixed Methods Approaches

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CHAPTER ONE

The Selection of a Research Design

Research designs are plans and the procedures for research that span the decisions from broad assumptions to detailed methods of data collection and analysis. This plan involves several decisions, and they need not be taken in the order in which they make sense to me and the order of their presentation here. The overall decision involves which design should be used to study a topic. Informing this decision should be the worldview assumptions the researcher brings to the study; procedures of inquiry (called strategies); and specific methods of data collection, analysis, and interpretation. The selection of a research design is also based on the nature of the research problem or issue being addressed, the researchers' personal experiences, and the audiences for the study.

THE THREE TYPES OF DESIGNS

In this book, three types of designs are advanced: qualitative, quantitative, and mixed methods. Unquestionably, the three approaches are not as discrete as they first appear. Qualitative and quantitative approaches should not be viewed as polar opposites or dichotomies; instead, they represent different ends on a continuum (Newman & Benz, 1998). A study *tends* to be more qualitative than quantitative or vice versa. Mixed methods research resides in the middle of this continuum because it incorporates elements of both qualitative and quantitative approaches.

Often the distinction between qualitative and quantitative research is framed in terms of using words (qualitative) rather than numbers (quantitative), or using closed-ended questions (quantitative hypotheses) rather than open-ended questions (qualitative interview questions). A more complete way to view the gradations of differences between them is in the basic philosophical assumptions researchers bring to the study, the types of research strategies used overall in the research (e.g., quantitative experiments or qualitative case studies), and the specific methods employed in conducting these strategies (e.g., collecting data quantitatively on instruments versus collecting qualitative data through observing a setting). Moreover, there is a historical evolution to both approaches, with the quantitative approaches dominating the forms of research in the social sciences from the late 19th century up until the mid-20th century. During the latter half of the 20th century, interest in qualitative research increased and along with it, the development of mixed methods research (see Creswell, 2008, for more of this history). With this background, it should prove helpful to view definitions of these three key terms as used in this book:

• **Qualitative research** is a means for exploring and understanding the meaning individuals or groups ascribe to a social or human problem. The process of research involves emerging questions and procedures, data typically collected in the participant's setting, data analysis inductively building from particulars to general themes, and the researcher making interpretations of the meaning of the data. The final written report has a flexible structure. Those who engage in this form of inquiry support a way of looking at research that honors an inductive style, a focus on individual meaning, and the importance of rendering the complexity of a situation (adapted from Creswell, 2007).

• **Quantitative research** is a means for testing objective theories by examining the relationship among variables. These variables, in turn, can be measured, typically on instruments, so that numbered data can be analyzed using statistical procedures. The final written report has a set structure consisting of introduction, literature and theory, methods, results, and discussion

CHAPTER TWO

Review of the Literature

Besides selecting a quantitative, qualitative, or mixed methods approach, the proposal designer also needs to review the literature about a topic. This literature review helps to determine whether the topic is worth studying, and it provides insight into ways in which the researcher can limit the scope to a needed area of inquiry.

This chapter continues the discussion about preliminary considerations before launching into a proposal. It begins with a discussion about selecting a topic and writing this topic down so that the researcher can continually reflect on it. At this point, researchers also need to consider whether the topic can and should be researched. Then the discussion moves into the actual process of reviewing the literature, addressing the general purpose for using literature in a study and then turning to principles helpful in designing literature into qualitative, quantitative, and mixed methods studies.

THE RESEARCH TOPIC

Before considering what literature to use in a project, first identify a topic to study and reflect on whether it is practical and useful to undertake the study. The **topic** is the subject or subject matter of a proposed study, such as "faculty teaching," "organizational creativity," or "psychological stress." Describe the topic in a few words or in a short phrase. The topic becomes the central idea to learn about or to explore.

There are several ways that researchers gain some insight into their topics when they are initially planning their research (my assumption is that the topic is chosen by the researcher and not by an adviser or committee member): One way is to draft a brief title to the study. I am surprised at how often researchers fail to draft a title early in the development of their projects. In my opinion, the working or draft title becomes a major road sign in research—a tangible idea that the researcher can keep refocusing on and changing as the project goes on (see Glesne & Peshkin, 1992). I find that in my research, this topic grounds me and provides a sign of what I am studying, as well as a sign often used in conveying to others the central notion of my study. When students first provide their prospectuses of a research study to me, I ask them to supply a working title if they do not already have one on the paper.

How would this working title be written? Try completing this sentence, "My study is about. . . ." A response might be, "My study is about at-risk children in the junior high," or "My study is about helping college faculty become better researchers." At this stage in the design, frame the answer to the question so that another scholar might easily grasp the meaning of the project. A common shortcoming of beginning researchers is that they frame their study in complex and erudite language. This perspective may result from reading published articles that have undergone numerous revisions before being set in print. Good, sound research projects begin with straightforward, uncomplicated thoughts, easy to read and to understand. Think about a journal article that you have read recently. If it was easy and quick to read, it was likely written in general language that many readers could easily identify with, in a way that was straightforward and simple in overall design and conceptualization.

• Researchers record information from interviews by making handwritten notes, by audiotaping, or by videotaping. Even if an interview is taped, I recommend that researchers take notes, in the event that recording equipment fails. If audiotaping is used, researchers need to plan in advance for the transcription of the tape.

• The recording of documents and visual materials can be based on the researcher's structure for taking notes. Typically, notes reflect information about the document or other material as well as key ideas in the documents. It is helpful to note whether the information represents primary material (i.e., information directly from the people or situation under study) or secondary material (i.e., secondhand accounts of the people or situation written by others). It is also helpful to comment on the reliability and value of the data source.

DATA ANALYSIS AND INTERPRETATION

Discussion of the plan for analyzing the data might have several components. The process of data analysis involves making sense out of text and image data. It involves preparing the data for analysis, conducting different analyses, moving deeper and deeper into understanding the data (some qualitative researchers like to think of this as peeling back the layers of an onion), representing the data, and making an interpretation of the larger meaning of the data. Several generic processes might be stated in the proposal that convey a sense of the overall activities of qualitative data analysis, such as the following drawn from my own thoughts (Creswell, 2007) and those of Rossman and Rallis (1998):

• It is an ongoing process involving continual reflection about the data, asking analytic questions, and writing memos throughout the study. I say that qualitative data analysis is conducted concurrently with gathering data, making interpretations, and writing reports. While interviews are going on, for example, the researcher may be analyzing an interview collected earlier, writing memos that may ultimately be included as a narrative in the final report, and organizing the structure of the final report.

• Data analysis involves collecting open-ended data, based on asking general questions and developing an analysis from the information supplied by participants.

• Often we see qualitative data analysis reported in journal articles and books that is a generic form of analysis. In this approach, the researcher collects qualitative data, analyzes it for themes or perspectives, and reports 4-5 themes. I consider this approach to be basic qualitative analysis; today many qualitative researchers go beyond this generic analysis to add a procedure within one of the qualitative strategies of inquiry. For example, g*rounded theory* has systematic steps (Corbin & Strauss, 2007; Strauss & Corbin, 1990, 1998). These involve generating categories of information (open coding), selecting one of the categories and positioning it within a theoretical model (axial coding), and then explicating a story from the interconnection of these categories (selective coding). *Case study* and *ethnographic research* involve a detailed description of the setting or individuals, followed by analysis of the data for themes or issues (see Stake, 1995; Wolcott, 1994). *Phenomenological research* uses the analysis of significant statements, the generation of meaning units, and the development of what Moustakas (1994) calls an essence description. *Narrative research* employs restorying the participants' stories using structural devices, such as plot, setting, activities, climax, and denouement (Clandinin & Connelly, 2000). As these examples illustrate, the processes as well as the terms differ from one analytic strategy to another.