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Discourse in the Novel

M. M. Bakhtin

Mikhail Mikhailovich Bakhtin (1895–1975)

Born in Orel, Russia, M. M. Bakhtin studied classics at Petrograd (St. Petersburg) University during the turbulent years of 1914 to 1918. Upon graduating he struggled to find gainful employment but thrived intellectually in the informal philosophical society which became known as the "Bakhtin Circle." The group's closeness is evinced by the difficulty of ascribing the authorship of several books published during this time. Major works emerging from the group include *Formal'nyi metod v literaturovedeni* (published under the name of P. N. Medvedev, 1928; translated as *The Formal Method in Literary Scholarship: A Critical Introduction to Sociological Poetics*, 1978), and *Marksizm i filosofiia iazyka* (published under the name of V. N. Vološinov, 1929; translated as *Marxism and the Philosophy of Language*, 1973). In 1929, Bakhtin, along with many other intellectuals, was arrested; spared a period in Siberia due to his ill-health (he suffered from typhoid and the bone disease, osteomyelitis), Bakhtin was exiled to what is now Kazakhstan. In 1936 he

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returned to teach at the Mordovia Pedagogical Institute in Saransk, but resigned a year later to avoid being purged, and spent the next eight years in Savelovo. During this period he wrote his doctoral dissertation (published 1965 as *Tvorchestvo Fransua Rable i narodnaia kul'tura srednevekov'ia i Renessansa*; translated as *Rabelais and His World*, 1968), but the controversial nature of his ideas kept him from receiving a degree until 1952. Bakhtin finally gained job stability in 1945, when he returned to the Mordovia Pedagogical Institute, where he remained until his 1961 retirement. Meanwhile, Bakhtin was beginning to gain a national following, especially among younger scholars, and particularly for his book on Dostoevsky (originally published as *Problemy tворчества Достоевского*, 1929; revised and expanded as *Problemy poetiki Dostoevskogo*, 1963; translated as *Problems of Dostoevsky's Poetics*, 1973). In 1969 Bakhtin moved to Moscow; now suffering from severe emphysema as well as osteomyelitis, Bakhtin had only a few years to enjoy his long-awaited fame. The essay reprinted here comes from *Voprosy literatury i estetiki: Issledovaniia raznykh let* (1972; selected essays translated by Michael Holquist and Caryl Emerson as *The Dialogic Imagination: Four Essays*, 1981).

The principal idea of this essay is that the study of verbal art can and must overcome the divorce between an abstract "formal" approach and an equally abstract "ideological" approach. Form and content in discourse are one, once we understand that verbal discourse is a social phenomenon – social throughout its entire range and in each and every of its factors, from the sound image to the furthest reaches of abstract meaning.

It is this idea that has motivated our emphasis on "the stylistics of genre." The separation of style and language from the question of genre has been largely responsible for a situation in which only individual and period-bound overtones of a style are the privileged subjects of study, while its basic social tone is ignored. The great historical destinies of genres are overshadowed by the petty vicissitudes of stylistic modifications, which in their turn are linked with individual artists and artistic movements. For this reason, stylistics has been deprived of an authentic philosophical and sociological approach to its problems; it has become bogged down in stylistic trivia; it is not able to sense behind the individual and period-bound shifts the great and anonymous destinies of artistic discourse itself. More often than not, stylistics defines itself as a stylistics of "private craftsmanship" and ignores the social life of discourse outside the artist's study, discourse in the open spaces of public squares, streets, cities and villages, of social groups, generations and epochs. Stylistics is concerned not with living discourse but with a histological specimen made from it, with abstract linguistic discourse in the service of an artist's individual creative powers. But these individual and tendentious overtones of style, cut off from the fundamentally social modes in which discourse lives, inevitably come across as flat and abstract in such a formulation and cannot therefore be studied in organic unity with a work's semantic components.

Modern Stylistics and the Novel

Before the twentieth century, problems associated with a stylistics of the novel had not been precisely formulated – such a formulation could only have resulted from a recognition of the stylistic uniqueness of novelistic (artistic-prose) discourse.

For a long time treatment of the novel was limited to little more than abstract ideological examination and publicistic commentary. Concrete questions of stylistics were either not treated at all or treated in passing and in an arbitrary way: the discourse of artistic prose was either understood as being poetic in the narrow sense, and had the categories of traditional stylistics (based on the study of tropes) uncritically applied to it, or else such questions were limited to empty, evaluative terms for the characterization of language, such as “expressiveness,” “imagery,” “force,” “clarity” and so on – without providing these concepts with any stylistic significance, however vague and tentative.

Toward the end of the last century, as a counterweight to this abstract ideological way of viewing things, interest began to grow in the concrete problems of artistic craftsmanship in prose, in the problems of novel and short-story technique. However, in questions of stylistics the situation did not change in the slightest; attention was concentrated almost exclusively on problems of composition (in the broad sense of the word). But, as before, the peculiarities of the stylistic life of discourse in the novel (and in the short story as well) lacked an approach that was both principled and at the same time concrete (one is impossible without the other); the same arbitrary judgmental observations about language – in the spirit of traditional stylistics – continued to reign supreme, and they totally overlooked the authentic nature of artistic prose.

There is a highly characteristic and widespread point of view that sees novelistic discourse as an extra-artistic medium, a discourse that is not worked into any special or unique style. After failure to find in novelistic discourse a purely poetic formulation (“poetic” in the narrow sense) as was expected, prose discourse is denied any artistic value at all; it is the same as practical speech for everyday life, or speech for scientific purposes, an artistically neutral means of communication.¹

Such a point of view frees one from the necessity of undertaking stylistic analyses of the novel; it in fact gets rid of the very problem of a stylistics of the novel, permitting one to limit oneself to purely thematic analyses of it.

It was, however, precisely in the 1920s that this situation changed: the novelistic prose word began to win a place for itself in stylistics. On the one hand there appeared a series of concrete stylistic analyses of novelistic prose; on the other hand, systematic attempts were made to recognize and define the stylistic uniqueness of artistic prose as distinct from poetry.

But it was precisely these concrete analyses and these attempts at a principled approach that made patently obvious the fact that all the categories of traditional stylistics – in fact the very concept of a *poetic* artistic discourse, which lies at the heart of such categories – were not applicable to novelistic discourse. Novelistic discourse proved to be the acid test for this whole way of conceiving style, exposing the narrowness of this type of thinking and its inadequacy in all areas of discourse’s artistic life.

All attempts at concrete stylistic analysis of novelistic prose either strayed into linguistic descriptions of the language of a given novelist or else limited themselves to those separate, isolated stylistic elements of the novel that were includable (or gave the appearance of being includable) in the traditional categories of stylistics. In both instances the stylistic whole of the novel and of novelistic discourse eluded the investigator.

The novel as a whole is a phenomenon multiform in style and variform in speech and voice. In it the investigator is confronted with several heterogeneous stylistic unities, often located on different linguistic levels and subject to different stylistic controls.

We list below the basic types of compositional-stylistic unities into which the novelistic whole usually breaks down:

- (1) Direct authorial literary-artistic narration (in all its diverse variants);
- (2) Stylization of the various forms of oral everyday narration (*skaz*);
- (3) Stylization of the various forms of semiliterary (written) everyday narration (the letter, the diary, etc.);
- (4) Various forms of literary but extra-artistic authorial speech (moral, philosophical or scientific statements, oratory, ethnographic descriptions, memoranda and so forth);
- (5) The stylistically individualized speech of characters.

These heterogeneous stylistic unities, upon entering the novel, combine to form a structured artistic system, and are subordinated to the higher stylistic unity of the work as a whole, a unity that cannot be identified with any single one of the unities subordinated to it.

The stylistic uniqueness of the novel as a genre consists precisely in the combination of these subordinated, yet still relatively autonomous, unities (even at times comprised of different languages) into the higher unity of the work as a whole: the style of a novel is to be found in the combination of its styles; the language of a novel is the system of its "languages." Each separate element of a novel's language is determined first of all by one such subordinated stylistic unity into which it enters directly – be it the stylistically individualized speech of a character, the down-to-earth voice of a narrator in *skaz*, a letter or whatever. The linguistic and stylistic profile of a given element (lexical, semantic, syntactic) is shaped by that subordinated unity to which it is most immediately proximate. At the same time this element, together with its most immediate unity, figures into the style of the whole, itself supports the accent of the whole and participates in the process whereby the unified meaning of the whole is structured and revealed.

The novel can be defined as a diversity of social speech types (sometimes even diversity of languages) and a diversity of individual voices, artistically organized. The internal stratification of any single national language into social dialects, characteristic group behavior, professional jargons, generic languages, languages of generations and age groups, tendentious languages, languages of the authorities, of various circles and of passing fashions, languages that serve the specific sociopolitical purposes of the day, even of the hour (each day has its own slogan, its own vocabulary, its own emphases) – this internal stratification present in every language at any given moment of its historical existence is the indispensable prerequisite for the novel as a genre. The novel orches-

trates all its themes, the totality of the world of objects and ideas depicted and expressed in it, by means of the social diversity of speech types [*raznorečie*] and by the differing individual voices that flourish under such conditions. Authorial speech, the speeches of narrators, inserted genres, the speech of characters are merely those fundamental compositional unities with whose help heteroglossia [*raznorečie*] can enter the novel; each of them permits a multiplicity of social voices and a wide variety of their links and interrelationships (always more or less dialogized). These distinctive links and interrelationships between utterances and languages, this movement of the theme through different languages and speech types, its dispersion into the rivulets and droplets of social heteroglossia, its dialogization – this is the basic distinguishing feature of the stylistics of the novel.

Such a combining of languages and styles into a higher unity is unknown to traditional stylistics; it has no method for approaching the distinctive social dialogue among languages that is present in the novel. Thus stylistic analysis is not oriented toward the novel as a whole, but only toward one or another of its subordinated stylistic unities. The traditional scholar bypasses the basic distinctive feature of the novel as a genre; he substitutes for it another object of study, and instead of novelistic style he actually analyzes something completely different. He transposes a symphonic (orchestrated) theme on to the piano keyboard.

We notice two such types of substitutions: in the first type, an analysis of novelistic style is replaced by a description of the language of a given novelist (or at best of the "languages" of a given novel); in the second type, one of the subordinated styles is isolated and analyzed as if it were the style of the whole.

In the first type, style is cut off from considerations of genre, and from the work as such, and regarded as a phenomenon of language itself: the unity of style in a given work is transformed either into the unity of an individual language ("individual dialect"), or into the unity of an individual speech (*parole*). It is precisely the individuality of the speaking subject that is recognized to be that style-generating factor transforming a phenomenon of language and linguistics into a stylistic unity.

We have no need to follow where such an analysis of novelistic style leads, whether to a disclosing of the novelist's individual dialect (that is, his vocabulary, his syntax) or to a disclosing of the distinctive features of the work taken as a "complete speech act," an "utterance." Equally in both cases, style is understood in the spirit of Saussure: as an individualization of the general language (in the sense of a system of general language norms). Stylistics is transformed either into a curious kind of linguistics treating individual languages, or into a linguistics of the utterance.

In accordance with the point of view selected, the unity of a style thus presupposes on the one hand a unity of language (in the sense of a system of general normative forms) and on the other hand the unity of an individual person realizing himself in this language.

Both these conditions are in fact obligatory in the majority of verse-based poetic genres, but even in these genres they far from exhaust or define the style of the work. The most precise and complete description of the individual language and speech of a poet – even if this description does choose to treat the expressiveness of language and speech elements – does not add up to a stylistic analysis of the work, inasmuch as these elements relate to a system of language or to a system of speech, that is, to various

linguistic unities and not to the system of the artistic work, which is governed by a completely different system of rules than those that govern the linguistic systems of language and of speech.

But – we repeat – in the majority of poetic genres, the unity of the language system and the unity (and uniqueness) of the poet's individuality as reflected in his language and speech, which is directly realized in this unity, are indispensable prerequisites of poetic style. The novel, however, not only does not require these conditions but (as we have said) even makes of the internal stratification of language, of its social heteroglossia and the variety of individual voices in it, the prerequisite for authentic novelistic prose.

Thus the substitution of the individualized language of the novelist (to the extent that one can recover this language from the "speech" and "language" systems of the novel) for the style of the novel itself is doubly imprecise: it distorts the very essence of a stylistics of the novel. Such substitution inevitably leads to the selection from the novel of only those elements that can be fitted within the frame of a single language system and that express, directly and without mediation, an authorial individuality in language. The whole of the novel and the specific tasks involved in constructing this whole out of heteroglot, multi-voiced, multi-styled and often multi-languaged elements remain outside the boundaries of such a study.

Such is the first type of substitution for the proper object of study in the stylistic analysis of the novel. We will not delve further into the diverse variations of this type, which are determined by the different ways in which such concepts as "the speech whole," "the system of language," "the individuality of the author's language and speech" are understood, and by a difference in the very way in which the relationship between style and language is conceived (and also the relationship between stylistics and linguistics). In all possible variants on this type of analysis, which acknowledge only one single language and a single authorial individuality expressing itself directly in that language, the stylistic nature of the novel slips hopelessly away from the investigator.

The second type of substitution is characterized not by an orientation toward the language of the author, but rather toward the style of the novel itself – although style thus understood is narrowed down to mean the style of merely one out of the several subordinated unities (which are relatively autonomous) within the novel.

In the majority of cases the style of the novel is subsumed under the concept of "epic style," and the appropriate categories of traditional stylistics are applied to it. In such circumstances only those elements of epic representation (those occurring predominantly in direct authorial speech) are isolated from the novel for consideration. The profound difference between novelistic and purely epic modes of expression is ignored. Differences between the novel and the epic are usually perceived on the level of composition and thematics alone.

In other instances, different aspects of novelistic style are selected out as most characteristic of one or another concrete literary work. Thus the narrational aspect can be considered from the point of view not of its objective descriptive mode, but of its subjective expression mode (expressiveness). One might select elements of vernacular extraliterary narration (*skaz*) or those aspects that provide the information necessary to further the plot (as one might do, for example, in analyzing an adventure novel).² And it is possible, finally, to select those purely dramatic elements of the novel that lower the narrational aspect to the level of a commentary on the dialogues of the

novel's characters. But the system of languages in drama is organized on completely different principles, and therefore its languages sound utterly different than do the languages of the novel. There is no all-encompassing language, dialogically oriented to separate languages, there is no second all-encompassing extra-plot (not dramatic) dialogue.

All these types of analysis are inadequate to the style not only of the novelistic whole but even of that element isolated as fundamental for a given novel – inasmuch as that element, removed from its interaction with others, changes its stylistic meaning and ceases to be that which it in fact had been in the novel.

The current state of questions posed by a stylistics of the novel reveals, fully and clearly, that all the categories and methods of traditional stylistics remain incapable of dealing effectively with the artistic uniqueness of discourse in the novel, or with the specific life that discourse leads in the novel. "Poetic language," "individuality of language," "image," "symbol," "epic style" and other general categories worked out and applied by stylistics, as well as the entire set of concrete stylistic devices subsumed by these categories (no matter how differently understood by individual critics), are all equally oriented toward the single-languaged and single-styled genres, toward the poetic genres in the narrow sense of the word. Their connection with this exclusive orientation explains a number of the particular features and limitations of traditional stylistic categories. All these categories, and the very philosophical conception of poetic discourse in which they are grounded, are too narrow and cramped, and cannot accommodate the artistic prose of novelistic discourse.

Thus stylistics and the philosophy of discourse indeed confront a dilemma: either to acknowledge the novel (and consequently all artistic prose tending in that direction) an unartistic or quasi-artistic genre, or to radically reconsider that conception of poetic discourse in which traditional stylistics is grounded and which determines all its categories.

This dilemma, however, is by no means universally recognized. Most scholars are not inclined to undertake a radical revision of the fundamental philosophical conception of poetic discourse. Many do not even see or recognize the philosophical roots of the stylistics (and linguistics) in which they work, and shy away from any fundamental philosophical issues. They utterly fail to see behind their isolated and fragmented stylistic observations and linguistic descriptions any theoretical problems posed by novelistic discourse. Others – more principled – make a case for consistent individualism in their understanding of language and style. First and foremost they seek in the stylistic phenomenon a direct and unmediated expression of authorial individuality, and such an understanding of the problem is least likely of all to encourage a reconsideration of basic stylistic categories in the proper direction.

However, there is another solution of our dilemma that does take basic concepts into account: one need only consider oft-neglected rhetoric, which for centuries has included artistic prose in its purview. Once we have restored rhetoric to all its ancient rights, we may adhere to the old concept of poetic discourse, relegating to "rhetorical forms" everything in novelistic prose that does not fit the Procrustean bed of traditional stylistic categories.³

Gustav Shpet,⁴ in his time, proposed such a solution to the dilemma, with all due rigorousness and consistency. He utterly excluded artistic prose and its ultimate

realization – the novel – from the realm of poetry, and assigned it to the category of purely rhetorical forms.⁵

Here is what Shpet says about the novel: “The recognition that contemporary forms of moral propaganda – i.e., the *novel* – do not spring from *poetic creativity* but are purely rhetorical compositions, is an admission, and a conception, that apparently cannot arise without immediately confronting a formidable obstacle in the form of the universal recognition, despite everything, that the novel *does* have a certain aesthetic value.”⁶

Shpet utterly denies the novel any aesthetic significance. The novel is an extra-artistic rhetorical genre, “the contemporary form of moral propaganda”; artistic discourse is exclusively poetic discourse (in the sense we have indicated above).

Viktor Vinogradov⁷ adopted an analogous point of view in his book *On Artistic Prose*, assigning the problem of artistic prose to rhetoric. While agreeing with Shpet’s basic philosophical definitions of the “poetic” and the “rhetorical,” Vinogradov was, however, not so paradoxically consistent: he considered the novel a syncretic, mixed form (“a hybrid formation”) and admitted that it contained, along with rhetorical elements, some purely poetic ones.⁸

The point of view that completely excludes novelistic prose, as a rhetorical formation, from the realm of poetry – a point of view that is basically false – does nevertheless have a certain indisputable merit. There resides in it an acknowledgment in principle and in substance of the inadequacy of all contemporary stylistics, along with its philosophical and linguistic base, when it comes to defining the specific distinctive features of novelistic prose. And what is more, the very reliance on rhetorical forms has a great heuristic significance. Once rhetorical discourse is brought into the study with all its living diversity, it cannot fail to have a deeply revolutionizing influence on linguistics and on the philosophy of language. It is precisely those aspects of any discourse (the internally dialogic quality of discourse, and the phenomena related to it), not yet sufficiently taken into account and fathomed in all the enormous weight they carry in the life of language, that are revealed with great external precision in rhetorical forms, provided a correct and unprejudiced approach to those forms is used. Such is the general methodological and heuristic significance of rhetorical forms for linguistics and for the philosophy of language.

The special significance of rhetorical forms for understanding the novel is equally great. The novel, and artistic prose in general, has the closest genetic, family relationship to rhetorical forms. And throughout the entire development of the novel, its intimate interaction (both peaceful and hostile) with living rhetorical genres (journalistic, moral, philosophical and others) has never ceased; this interaction was perhaps no less intense than was the novel’s interaction with the artistic genres (epic, dramatic, lyric). But in this uninterrupted interrelationship, novelistic discourse preserved its own qualitative uniqueness and was never reducible to rhetorical discourse.

The novel is an artistic genre. Novelistic discourse is poetic discourse, but one that does not fit within the frame provided by the concept of poetic discourse as it now exists. This concept has certain underlying presuppositions that limit it. The very concept – in the course of its historical formulation from Aristotle to the present day – has been oriented toward the specific “official” genres and connected with specific historical tendencies in verbal ideological life. Thus a whole series of phenomena remained beyond its conceptual horizon.

Philosophy of language, linguistics and stylistics [i.e., such as they have come down to us] have all postulated a simple and unmediated relation of speaker to his unitary and singular “own” language, and have postulated as well a simple realization of this language in the monologic utterance of the individual. Such disciplines actually know only two poles in the life of language, between which are located all the linguistic and stylistic phenomena they know: on the one hand, the system of a *unitary language*, and on the other the *individual* speaking in this language.

Various schools of thought in the philosophy of language, in linguistics and in stylistics have, in different periods (and always in close connection with the diverse concrete poetic and ideological styles of a given epoch), introduced into such concepts as “system of language,” “monologic utterance,” “the speaking *individuum*,” various differing nuances of meaning, but their basic content remains unchanged. This basic content is conditioned by the specific sociohistorical destinies of European languages and by the destinies of ideological discourse, and by those particular historical tasks that ideological discourse has fulfilled in specific social spheres and at specific stages in its own historical development.

These tasks and destinies of discourse conditioned specific verbal-ideological movements, as well as various specific genres of ideological discourse, and ultimately the specific philosophical concept of discourse itself – in particular, the concept of poetic discourse, which had been at the heart of all concepts of style.

The strength and at the same time the limitations of such basic stylistic categories become apparent when such categories are seen as conditioned by specific historical destinies and by the task that an ideological discourse assumes. These categories arose from and were shaped by the historically *aktuell* forces at work in the verbal-ideological evolution of specific social groups; they comprised the theoretical expression of actualizing forces that were in the process of creating a life for language.

These forces are *the forces that serve to unify and centralize the verbal-ideological world*.

Unitary language constitutes the theoretical expression of the historical processes of linguistic unification and centralization, an expression of the centripetal forces of language. A unitary language is not something given [*dan*] but is always in essence posited [*zadan*] – and at every moment of its linguistic life it is opposed to the realities of heteroglossia. But at the same time it makes its real presence felt as a force for overcoming this heteroglossia, imposing specific limits to it, guaranteeing a certain maximum of mutual understanding and crystallizing into a real, although still relative, unity – the unity of the reigning conversational (everyday) and literary language, “correct language.”

A common unitary language is a system of linguistic norms. But these norms do not constitute an abstract imperative; they are rather the generative forces of linguistic life, forces that struggle to overcome the heteroglossia of language, forces that unite and centralize verbal-ideological thought, creating within a heteroglot national language the firm, stable linguistic nucleus of an officially recognized literary language, or else defending an already formed language from the pressure of growing heteroglossia.

What we have in mind here is not an abstract linguistic minimum of a common language, in the sense of a system of elementary forms (linguistic symbols) guaranteeing a *minimum* level of comprehension in practical communication. We are taking language

not as a system of abstract grammatical categories, but rather language conceived as ideologically saturated, language as a world view, even as a concrete opinion, insuring a *maximum* of mutual understanding in all spheres of ideological life. Thus a unitary language gives expression to forces working toward concrete verbal and ideological unification and centralization, which develop in vital connection with the processes of sociopolitical and cultural centralization.

Aristotelian poetics, the poetics of Augustine, the poetics of the medieval church, of “the one language of truth,” the Cartesian poetics of neoclassicism, the abstract grammatical universalism of Leibniz (the idea of a “universal grammar”), Humboldt’s insistence on the concrete – all these, whatever their differences in nuance, give expression to the same centripetal forces in sociolinguistic and ideological life; they serve one and the same project of centralizing and unifying the European languages. The victory of one reigning language (dialect) over the others, the supplanting of languages, their enslavement, the process of illuminating them with the True Word, the incorporation of barbarians and lower social strata into a unitary language of culture and truth, the canonization of ideological systems, philology with its methods of studying and teaching dead languages, languages that were by that very fact “unities,” Indo-European linguistics with its focus of attention, directed away from language plurality to a single proto-language – all this determined the content and power of the category of “unitary language” in linguistic and stylistic thought, and determined its creative, style-shaping role in the majority of the poetic genres that coalesced in the channel formed by those same centripetal forces of verbal-ideological life.

But the centripetal forces of the life of language, embodied in a “unitary language,” operate in the midst of heteroglossia. At any given moment of its evolution, language is stratified not only into linguistic dialects in the strict sense of the word (according to formal linguistic markers, especially phonetic), but also – and for us this is the essential point – into languages that are socio-ideological: languages of social groups, “professional” and “generic” languages, languages of generations and so forth. From this point of view, literary language itself is only one of these heteroglot languages – and in its turn is also stratified into languages (generic, period-bound and others). And this stratification and heteroglossia, once realized, is not only a static invariant of linguistic life, but also what insures its dynamics: stratification and heteroglossia widen and deepen as long as language is alive and developing. Alongside the centripetal forces, the centrifugal forces of language carry on their uninterrupted work; alongside verbal-ideological centralization and unification, the uninterrupted processes of decentralization and disunification go forward.

Every concrete utterance of a speaking subject serves as a point where centrifugal as well as centripetal forces are brought to bear. The processes of centralization and decentralization, of unification and disunification, intersect in the utterance; the utterance not only answers the requirements of its own language as an individualized embodiment of a speech act, but it answers the requirements of heteroglossia as well; it is in fact an active participant in such speech diversity. And this active participation of every utterance in living heteroglossia determines the linguistic profile and style of the utterance to no less a degree than its inclusion in any normative-centralizing system of a unitary language.

Every utterance participates in the "unitary language" (in its centripetal forces and tendencies) and at the same time partakes of social and historical heteroglossia (the centrifugal, stratifying forces).

Such is the fleeting language of a day, of an epoch, a social group, a genre, a school and so forth. It is possible to give a concrete and detailed analysis of any utterance, once having exposed it as a contradiction-ridden, tension-filled unity of two embattled tendencies in the life of language.

The authentic environment of an utterance, the environment in which it lives and takes shape, is dialogized heteroglossia, anonymous and social as language, but simultaneously concrete, filled with specific content and accented as an individual utterance.

At the time when major divisions of the poetic genres were developing under the influence of the unifying, centralizing, centripetal forces of verbal-ideological life, the novel – and those artistic-prose genres that gravitate toward it – was being historically shaped by the current of decentralizing, centrifugal forces. At the time when poetry was accomplishing the task of cultural, national and political centralization of the verbal-ideological world in the higher official socio-ideological levels, on the lower levels, on the stages of local fairs and at buffoon spectacles, the heteroglossia of the clown sounded forth, ridiculing all "languages" and dialects; there developed the literature of the *fabliaux* and *Schwänke* of street songs, folksayings, anecdotes, where there was no language-center at all, where there was to be found a lively play with the "languages" of poets, scholars, monks, knights and others, where all "languages" were masks and where no language could claim to be an authentic, incontestable face.

Heteroglossia, as organized in these low genres, was not merely heteroglossia vis-à-vis the accepted literary language (in all its various generic expressions), that is, vis-à-vis the linguistic center of the verbal-ideological life of the nation and the epoch, but was a heteroglossia consciously opposed to this literary language. It was parodic, and aimed sharply and polemically against the official languages of its given time. It was heteroglossia that had been dialogized.

Linguistics, stylistics and the philosophy of language that were born and shaped by the current of centralizing tendencies in the life of language have ignored this dialogized heteroglossia, in which is embodied the centrifugal forces in the life of language. For this very reason they could make no provision for the dialogic nature of language, which was a struggle among socio-linguistic points of view, not an intra-language struggle between individual wills or logical contradictions. Moreover, even intra-language dialogue (dramatic, rhetorical, cognitive or merely casual) has hardly been studied linguistically or stylistically up to the present day. One might even say outright that the dialogic aspect of discourse and all the phenomena connected with it have remained to the present moment beyond the ken of linguistics.

Stylistics has been likewise completely deaf to dialogue. A literary work has been conceived by stylistics as if it were a hermetic and self-sufficient whole, one whose elements constitute a closed system presuming nothing beyond themselves, no other utterances. The system comprising an artistic work was thought to be analogous with the system of a language, a system that could not stand in a dialogic interrelationship with other languages. From the point of view of stylistics, the artistic work as a whole – whatever that whole might be – is a self-sufficient and closed authorial monologue, one that presumes only passive listeners beyond its own boundaries. Should we imagine the

work as a rejoinder in a given dialogue, whose style is determined by its interrelationship with other rejoinders in the same dialogue (in the totality of the conversation) – then traditional stylistics does not offer an adequate means for approaching such a dialogized style. The sharpest and externally most marked manifestations of this stylistic category – the polemical style, the parodic, the ironic – are usually classified as rhetorical and not as poetic phenomena. Stylistics locks every stylistic phenomenon into the monologic context of a given self-sufficient and hermetic utterance, imprisoning it, as it were, in the dungeon of a single context; it is not able to exchange messages with other utterances; it is not able to realize its own stylistic implications in a relationship with them; it is obliged to exhaust itself in its own single hermetic context.

Linguistics, stylistics and the philosophy of language – as forces in the service of the great centralizing tendencies of European verbal-ideological life – have sought first and foremost for *unity* in diversity. This exclusive “orientation toward unity” in the present and past life of languages has concentrated the attention of philosophical and linguistic thought on the firmest, most stable, least changeable and most mono-semic aspects of discourse – on the *phonetic* aspects first of all – that are furthest removed from the changing socio-semantic spheres of discourse. Real ideologically saturated “language consciousness,” one that participates in actual heteroglossia and multi-languagedness, has remained outside its field of vision. It is precisely this orientation toward unity that has compelled scholars to ignore all the verbal genres (quotidian, rhetorical, artistic-prose) that were the carriers of the decentralizing tendencies in the life of language, or that were in any case too fundamentally implicated in heteroglossia. The expression of this hetero- as well as polyglot consciousness in the specific forms and phenomena of verbal life remained utterly without determinative influence on linguistics and stylistic thought.

Therefore proper theoretical recognition and illumination could not be found for the specific feel for language and discourse that one gets in stylizations, in *skaz*, in parodies and in various forms of verbal masquerade, “not talking straight,” and in the more complex artistic forms for the organization of contradiction, forms that orchestrate their themes by means of languages – in all characteristic and profound models of novelistic prose, in Grimmelshausen, Cervantes, Rabelais, Fielding, Smollett, Sterne and others.

The problem of stylistics for the novel inevitably leads to the necessity of engaging a series of fundamental questions concerning the philosophy of discourse, questions connected with those aspects in the life of discourse that have had no light cast on them by linguistic and stylistic thought – that is, we must deal with the life and behavior of discourse in a contradictory and multi-languaged world.

Discourse in Poetry and Discourse in the Novel

For the philosophy of language, for linguistics and for stylistics structured on their base, a whole series of phenomena have therefore remained almost entirely beyond the realm of consideration: these include the specific phenomena that are present in discourse and that are determined by its dialogic orientation, first, amid others’ utterances inside a *single* language (the primordial dialogism of discourse), amid other “social languages” within a single *national* language and finally amid different national

languages within the same *culture*, that is, the same socio-ideological conceptual horizon.⁹

In recent decades, it is true, these phenomena have begun to attract the attention of scholars in language and stylistics, but their fundamental and wide-ranging significance in all spheres of the life of discourse is still far from acknowledged.

The dialogic orientation of a word among other words (of all kinds and degrees of otherness) creates new and significant artistic potential in discourse, creates the potential for a distinctive art of prose, which has found its fullest and deepest expression in the novel.

We will focus our attention here on various forms and degrees of dialogic orientation in discourse, and on the special potential for a distinctive prose-art.

As treated by traditional stylistic thought, the word acknowledges only itself (that is, only its own context), its own object, its own direct expression and its own unitary and singular language. It acknowledges another word, one lying outside its own context, only as the neutral word of language, as the word of no one in particular, as simply the potential for speech. The direct word, as traditional stylistics understands it, encounters in its orientation toward the object only the resistance of the object itself (the impossibility of its being exhausted by a word, the impossibility of saying it all), but it does not encounter in its path toward the object the fundamental and richly varied opposition of another's word. No one hinders this word, no one argues with it.

But no living word relates to its object in a *singular* way: between the word and its object, between the word and the speaking subject, there exists an elastic environment of other, alien words about the same object, the same theme, and this is an environment that it is often difficult to penetrate. It is precisely in the process of living interaction with this specific environment that the word may be individualized and given stylistic shape.

Indeed, any concrete discourse (utterance) finds the object at which it was directed already as it were overlain with qualifications, open to dispute, charged with value, already enveloped in an obscuring mist – or, on the contrary, by the “light” of alien words that have already been spoken about it. It is entangled, shot through with shared thoughts, points of view, alien value judgments and accents. The word, directed toward its object, enters a dialogically agitated and tension-filled environment of alien words, value judgments and accents, weaves in and out of complex interrelationships, merges with some, recoils from others, intersects with yet a third group: and all this may crucially shape discourse, may leave a trace in all its semantic layers, may complicate its expression and influence its entire stylistic profile.

The living utterance, having taken meaning and shape at a particular historical moment in a socially specific environment, cannot fail to brush up against thousands of living dialogic threads, woven by socio-ideological consciousness around the given object of an utterance; it cannot fail to become an active participant in social dialogue. After all, the utterance arises out of this dialogue as a continuation of it and as a rejoinder to it – it does not approach the object from the sidelines.

The way in which the word conceptualizes its object is a complex act – all objects, open to dispute and overlain as they are with qualifications, are from one side highlighted while from the other side dimmed by heteroglot social opinion, by an alien word about them.¹⁰ And into this complex play of light and shadow the word enters – it

becomes saturated with this play, and must determine within it the boundaries of its own semantic and stylistic contours. The way in which the word conceives its object is complicated by a dialogic interaction within the object between various aspects of its socio-verbal intelligibility. And an artistic representation, an "image" of the object, may be penetrated by this dialogic play of verbal intentions that meet and are interwoven in it; such an image need not stifle these forces, but on the contrary may activate and organize them. If we imagine the *intention* of such a word, that is, its *directionality toward the object*, in the form of a ray of light, then the living and unrepeatable play of colors and light on the facets of the image that it constructs can be explained as the spectral dispersion of the ray-word, not within the object itself (as would be the case in the play of an image-as-trope, in poetic speech taken in the narrow sense, in an "autotelic word"), but rather as its spectral dispersion in an atmosphere filled with the alien words, value judgments and accents through which the ray passes on its way toward the object; the social atmosphere of the word, the atmosphere that surrounds the object, makes the facets of the image sparkle.

The word, breaking through to its own meaning and its own expression across an environment full of alien words and variously evaluating accents, harmonizing with some of the elements in this environment and striking a dissonance with others, is able, in this dialogized process, to shape its own stylistic profile and tone.

Such is the *image in artistic prose* and the image of *novelistic prose* in particular. In the atmosphere of the novel, the direct and unmediated intention of a word presents itself as something impermissably naive, something in fact impossible, for naïveté itself, under authentic novelistic conditions, takes on the nature of an internal polemic and is consequently dialogized (in, for example, the work of the Sentimentalists, in Chateaubriand and in Tolstoy). Such a dialogized image can occur in all the poetic genres as well, even in the lyric (to be sure, without setting the tone).¹¹ But such an image can fully unfold, achieve full complexity and depth and at the same time artistic closure, only under the conditions present in the genre of the novel.

In the poetic image narrowly conceived (in the image-as-trope), all activity – the dynamics of the image-as-word – is completely exhausted by the play between the word (with all its aspects) and the object (in all its aspects). The word plunges into the inexhaustible wealth and contradictory multiplicity of the object itself, with its "virginal," still "unuttered" nature; therefore it presumes nothing beyond the borders of its own context (except, of course, what can be found in the treasure-house of language itself). The word forgets that its object has its own history of contradictory acts of verbal recognition, as well as that heteroglossia that is always present in such acts of recognition.

For the writer of artistic prose, on the contrary, the object reveals first of all precisely the socially heteroglot multiplicity of its names, definitions and value judgments. Instead of the virginal fullness and in exhaustibility of the object itself, the prose writer confronts a multitude of routes, roads and paths that have been laid down in the object by social consciousness. Along with the internal contradictions inside the object itself, the prose writer witnesses as well the unfolding of social heteroglossia *surrounding* the object, the Tower-of-Babel mixing of languages that goes on around any object; the dialectics of the object are interwoven with the social dialogue surrounding it. For the prose writer, the object is a focal point for heteroglot voices among which his own voice must

also sound; these voices create the background necessary for his own voice, outside of which his artistic prose nuances cannot be perceived, and without which they "do not sound."

The prose artist elevates the social heteroglossia surrounding objects into an image that has finished contours, an image completely shot through with dialogized overtones; he creates artistically calculated nuances on all the fundamental voices and tones of this heteroglossia. But as we have already said, every extra-artistic prose discourse – in any of its forms, quotidian, rhetorical, scholarly – cannot fail to be oriented toward the "already uttered," the "already known," the "common opinion" and so forth. The dialogic orientation of discourse is a phenomenon that is, of course, a property of *any* discourse. It is the natural orientation of any living discourse. On all its various routes toward the object, in all its directions, the word encounters an alien word and cannot help encountering it in a living, tension-filled interaction. Only the mythical Adam, who approached a virginal and as yet verbally unqualified world with the first word, could really have escaped from start to finish this dialogic inter-orientation with the alien word that occurs in the object. Concrete historical human discourse does not have this privilege: it can deviate from such inter-orientation only on a conditional basis and only to a certain degree.

It is all the more remarkable that linguistics and the philosophy of discourse have been primarily oriented precisely toward this artificial, preconditioned status of the word, a word excised from dialogue and taken for the norm (although the primacy of dialogue over monologue is frequently proclaimed). Dialogue is studied merely as a compositional form in the structuring of speech, but the internal dialogism of the word (which occurs in a monologic utterance as well as in a rejoinder), the dialogism that penetrates its entire structure, all its semantic and expressive layers, is almost entirely ignored. But it is precisely this internal dialogism of the word, which does not assume any external compositional forms of dialogue, that cannot be isolated as an independent act, separate from the word's ability to form a concept [*koncipirovanie*] of its object – it is precisely this internal dialogism that has such enormous power to shape style. The internal dialogism of the word finds expression in a series of peculiar features in semantics, syntax and stylistics that have remained up to the present time completely unstudied by linguistics and stylistics (nor, what is more, have the peculiar semantic features of ordinary dialogue been studied).

The word is born in a dialogue as a living rejoinder within it; the word is shaped in dialogic interaction with an alien word that is already in the object. A word forms a concept of its own object in a dialogic way.

But this does not exhaust the internal dialogism of the word. It encounters an alien word not only in the object itself: every word is directed toward an *answer* and cannot escape the profound influence of the answering word that it anticipates.

The word in living conversation is directly, blatantly, oriented toward a future answer-word: it provokes an answer, anticipates it and structures itself in the answer's direction. Forming itself in an atmosphere of the already spoken, the word is at the same time determined by that which has not yet been said but which is needed and in fact anticipated by the answering word. Such is the situation in any living dialogue.

All rhetorical forms, monologic in their compositional structure, are oriented toward the listener and his answer. This orientation toward the listener is usually considered the

basic constitutive feature of rhetorical discourse.¹² It is highly significant for rhetoric that this relationship toward the concrete listener, taking him into account, is a relationship that enters into the very internal construction of rhetorical discourse. This orientation toward an answer is open, blatant and concrete.

This open orientation toward the listener and his answer in everyday dialogue and in rhetorical forms has attracted the attention of linguists. But even where this has been the case, linguists have by and large gotten no further than the compositional forms by which the listener is taken into account; they have not sought influence springing from more profound meaning and style. They have taken into consideration only those aspects of style determined by demands for comprehensibility and clarity – that is, precisely those aspects that are deprived of any internal dialogism, that take the listener for a person who passively understands but not for one who actively answers and reacts.

The listener and his response are regularly taken into account when it comes to everyday dialogue and rhetoric, but every other sort of discourse as well is oriented toward an understanding that is “responsive” – although this orientation is not particularized in an independent act and is not compositionally marked. Responsive understanding is a fundamental force, one that participates in the formulation of discourse, and it is moreover an *active* understanding, one that discourse senses as resistance or support enriching the discourse.

Linguistics and the philosophy of language acknowledge only a passive understanding of discourse, and moreover this takes place by and large on the level of common language, that is, it is an understanding of an utterance’s *neutral signification* and not its *actual meaning*.

The linguistic significance of a given utterance is understood against the background of language, while its actual meaning is understood against the background of other concrete utterances on the same theme, a background made up of contradictory opinions, points of view and value judgments – that is, precisely that background that, as we see, complicates the path of any word toward its object. Only now this contradictory environment of alien words is present to the speaker not in the object, but rather in the consciousness of the listener, as his apperceptive background, pregnant with responses and objections. And every utterance is oriented toward this apperceptive background of understanding, which is not a linguistic background but rather one composed of specific objects and emotional expressions. There occurs a new encounter between the utterance and an alien word, which makes itself felt as a new and unique influence on its style.

A passive understanding of linguistic meaning is no understanding at all, it is only the abstract aspect of meaning. But even a more concrete *passive* understanding of the meaning of the utterance, an understanding of the speaker’s intention insofar as that understanding remains purely passive, purely receptive, contributes nothing new to the word under consideration, only mirroring it, seeking, at its most ambitious, merely the full reproduction of that which is already given in the word – even such an understanding never goes beyond the boundaries of the word’s context and in no way enriches the word. Therefore, insofar as the speaker operates with such a passive understanding, nothing new can be introduced into his discourse; there can be no new aspects in his discourse relating to concrete objects and emotional expressions. Indeed the purely negative demands, such as could only emerge from a passive understanding

(for instance, a need for greater clarity, more persuasiveness, more vividness and so forth), leave the speaker in his own personal context, within his own boundaries; such negative demands are completely immanent in the speaker's own discourse and do not go beyond his semantic or expressive self-sufficiency.

In the actual life of speech, every concrete act of understanding is active: it assimilates the word to be understood into its own conceptual system filled with specific objects and emotional expressions, and is indissolubly merged with the response, with a motivated agreement or disagreement. To some extent, primacy belongs to the response, as the activating principle: it creates the ground for understanding, it prepares the ground for an active and engaged understanding. Understanding comes to fruition only in the response. Understanding and response are dialectically merged and mutually condition each other; one is impossible without the other.

Thus an active understanding, one that assimilates the word under consideration into a new conceptual system, that of the one striving to understand, establishes a series of complex interrelationships, consonances and dissonances with the word and enriches it with new elements. It is precisely such an understanding that the speaker counts on. Therefore his orientation toward the listener is an orientation toward a specific conceptual horizon, toward the specific world of the listener; it introduces totally new elements into his discourse; it is in this way, after all, that various different points of view, conceptual horizons, systems for providing expressive accents, various social "languages" come to interact with one another. The speaker strives to get a reading on his own word, and on his own conceptual system that determines this word, within the alien conceptual system of the understanding receiver; he enters into dialogical relationships with certain aspects of this system. The speaker breaks through the alien conceptual horizon of the listener, constructs his own utterance on alien territory, against his, the listener's, apperceptive background.

This new form of internal dialogism of the word is different from that form determined by an encounter with an alien word within the object itself: here it is not the object that serves as the arena for the encounter, but rather the subjective belief system of the listener. Thus this dialogism bears a more subjective, psychological and (frequently) random character, sometimes crassly accommodating, sometimes provocatively polemical. Very often, especially in the rhetorical forms, this orientation toward the listener and the related internal dialogism of the word may simply overshadow the object: the strong point of any concrete listener becomes a self-sufficient focus of attention, and one that interferes with the word's creative work on its referent.

Although they differ in their essentials and give rise to varying stylistic effects in discourse, the dialogic relationship toward an alien word within the object and the relationship toward an alien word in the anticipated answer of the listener can, nevertheless, be very tightly interwoven with each other, becoming almost indistinguishable during stylistic analysis.

Thus, discourse in Tolstoy is characterized by a sharp internal dialogism, and this discourse is moreover dialogized in the belief system of the reader – whose peculiar semantic and expressive characteristics Tolstoy acutely senses – as well as in the object. These two lines of dialogization (having in most cases polemical overtones) are tightly interwoven in his style: even in the most "lyrical" expressions and the most "epic" descriptions, Tolstoy's discourse harmonizes and disharmonizes (more often

disharmonizes) with various aspects of the heteroglot socio-verbal consciousness ensnaring the object, while at the same time polemically invading the reader's belief and evaluative system, striving to stun and destroy the apperceptive background of the reader's active understanding. In this respect Tolstoy is an heir of the eighteenth century, especially of Rousseau. This propagandizing impulse sometimes leads to a narrowing-down of heteroglot social consciousness (against which Tolstoy polemicizes) to the consciousness of his immediate contemporary, a contemporary of the day and not of the epoch; what follows from this is a radical concretization of dialogization (almost always undertaken in the service of a polemic). For this reason Tolstoy's dialogization, no matter how acutely we sense it in the expressive profile of his style, sometimes requires special historical or literary commentary: we are not sure with *what* precisely a given tone is in harmony or disharmony, for this dissonance or consonance has entered into the positive project of creating a style.¹³ It is true that such extreme concreteness (which approaches at time the feuilleton) is present only in those secondary aspects, the overtones of internal dialogization in Tolstoy's discourse.

In those examples of the internal dialogization of discourse that we have chosen (the internal, as contrasted with the external, compositionally marked, dialogue) the relationship to the alien word, to an alien utterance enters into the positing of the style. Style organically contains within itself indices that reach outside itself, a correspondence of its own elements and the elements of an alien context. The internal politics of style (how the elements are put together) is determined by its external politics (its relationship to alien discourse). The word lives, as it were, on the boundary between its own context and another, alien, context.

In any actual dialogue the rejoinder also leads such a double life: it is structured and conceptualized in the context of the dialogue as a whole, which consists of its own utterances ("own" from the point of view of the speaker) and of alien utterances (those of the partner). One cannot excise the rejoinder from this combined context made up of one's own words and the words of another without losing its sense and tone. It is an organic part of a heteroglot unity.

The phenomenon of internal dialogization, as we have said, is present to a greater or lesser extent in all realms of the life of the word. But if in extra-artistic prose (everyday, rhetorical, scholarly) dialogization usually stands apart, crystallizes into a special kind of act of its own and runs its course in ordinary dialogue or in other, compositionally clearly marked forms for mixing and polemicizing with the discourse of another – then in *artistic* prose, and especially in the novel, this dialogization penetrates from within the very way in which the word conceives its object and its means for expressing itself, reformulating the semantics and syntactical structure of discourse. Here dialogic inter-orientation becomes, as it were, an event of discourse itself, animating from within and dramatizing discourse in all its aspects.

In the majority of poetic genres (poetic in the narrow sense), as we have said, the internal dialogization of discourse is not put to artistic use, it does not enter into the work's "aesthetic object," and is artificially extinguished in poetic discourse. In the novel, however, this internal dialogization becomes one of the most fundamental aspects of prose style and undergoes a specific artistic elaboration.

But internal dialogization can become such a crucial force for creating form only where individual differences and contradictions are enriched by social heteroglossia,

where dialogic reverberations do not sound in the semantic heights of discourse (as happens in the rhetorical genres) but penetrate the deep strata of discourse, dialogize language itself and the world view a particular language has (the internal form of discourse) – where the dialogue of voices arises directly out of a social dialogue of “languages,” where an alien utterance begins to sound like a socially alien language, where the orientation of the word among alien utterances changes into an orientation of a word among socially alien languages within the boundaries of one and the same national language.

In genres that are poetic in the narrow sense, the natural dialogization of the word is not put to artistic use, the word is sufficient unto itself and does not presume alien utterances beyond its own boundaries. Poetic style is by convention suspended from any mutual interaction with alien discourse, any allusion to alien discourse.

Any way whatever of alluding to alien languages, to the possibility of another vocabulary, another semantics, other syntactic forms and so forth, to the possibility of other linguistic points of view, is equally foreign to poetic style. It follows that any sense of the boundedness, the historicity, the social determination and specificity of one's own language is alien to poetic style, and therefore a critical qualified relationship to one's own language (as merely one of many languages in a heteroglot world) is foreign to poetic style – as is a related phenomenon, the incomplete commitment of oneself, of one's full meaning, to a given language.

Of course this relationship and the relationship to his own language (in greater or lesser degree) could never be foreign to a historically existent poet, as a human being surrounded by living hetero- and polyglossia; but this relationship could not find a place in the *poetic style* of his work without destroying that style, without transposing it into a prosaic key and in the process turning the poet into a writer of prose.

In poetic genres, artistic consciousness – understood as a unity of all the author's semantic and expressive intentions – fully realizes itself within its own language; in them alone is such consciousness fully immanent, expressing itself in it directly and without mediation, without conditions and without distance. The language of the poet is *his* language, he is utterly immersed in it, inseparable from it, he makes use of each form, each word, each expression according to its unmediated power to assign meaning (as it were, “without quotation marks”), that is, as a pure and direct expression of his own intention. No matter what “agonies of the word” the poet endured in the process of creation, in the finished work language is an obedient organ, fully adequate to the author's intention.

The language in a poetic work realizes itself as something about which there can be no doubt, something that cannot be disputed, something all-encompassing. Everything that the poet sees, understands and thinks, he does through the eyes of a given language, in its inner forms, and there is nothing that might require, for its expression, the help of any other or alien language. The language of the poetic genre is a unitary and singular Ptolemaic world outside of which nothing else exists and nothing else is needed. The concept of many worlds of language, all equal in their ability to conceptualize and to be expressive, is organically denied to poetic style.

The world of poetry, no matter how many contradictions and insoluble conflicts the poet develops within it, is always illumined by one unitary and indisputable discourse. Contradictions, conflicts and doubts remain in the object, in thoughts, in living experiences – in short, in the subject matter – but they do not enter into the language itself. In poetry, even discourse about doubts must be cast in a discourse that cannot be doubted.

To take responsibility for the language of the work as a whole at all of its points as *its* language, to assume a full solidarity with each of the work's aspects, tones, nuances – such is the fundamental prerequisite for poetic style; style so conceived is fully adequate to a single language and a single linguistic consciousness. The poet is not able to oppose his own poetic consciousness, his own intentions to the language that he uses, for he is completely within it and therefore cannot turn it into an object to be perceived, reflected upon or related to. Language is present to him only from inside, in the work it does to effect its intention, and not from outside, in its objective specificity and boundedness. Within the limits of poetic style, direct unconditional intentionality, language at its full weight and the objective display of language (as a socially and historically limited linguistic reality) are all simultaneous, but incompatible. The unity and singularity of language are the indispensable prerequisites for a realization of the direct (but not objectively typifying) intentional individuality of poetic style and of its monologic steadfastness.

This does not mean, of course, that heteroglossia or even a foreign language is completely shut out of a poetic work. To be sure, such possibilities are limited: a certain latitude for heteroglossia exists only in the “low” poetic genres – in the satiric and comic genres and others. Nevertheless, heteroglossia (other socio-ideological languages) can be introduced into purely poetic genres, primarily in the speeches of characters. But in such a context it is objective. It appears, in essence, as a *thing*, it does not lie on the *same* plane with the real language of the work: it is the depicted gesture of one of the characters and does not appear as an aspect of the word doing the depicting. Elements of heteroglossia enter here not in the capacity of another language carrying its own particular points of view, about which one can say things not expressible in one's own language, but rather in the capacity of a depicted thing. Even when speaking of alien things, the poet speaks in his own language. To shed light on an alien world, he never resorts to an alien language, even though it might in fact be more adequate to that world. Whereas the writer of prose, by contrast – as we shall see – attempts to talk about even his *own* world in an alien language (for example, in the nonliterary language of the teller of tales, or the representative of a specific socio-ideological group); he often measures his own world by alien linguistic standards.

As a consequence of the prerequisites mentioned above, the language of poetic genres, when they approach their stylistic limit,¹⁴ often becomes authoritarian, dogmatic and conservative, sealing itself off from the influence of extraliterary social dialects. Therefore such ideas as a special “poetic language,” a “language of the gods,” a “priestly language of poetry” and so forth could flourish on poetic soil. It is noteworthy that the poet, should he not accept the given literary language, will sooner resort to the artificial creation of a new language specifically for poetry than he will to the exploitation of actual available social dialects. Social languages are filled with specific objects, typical, socially localized and limited, while the artificially created language of poetry must be a

directly intentional language, unitary and singular. Thus, when Russian prose writers at the beginning of the twentieth century began to show a profound interest in dialects and *skaz*, the Symbolists (Bal'mont, V. Ivanov) and later the Futurists dreamed of creating a special “language of poetry,” and even made experiments directed toward creating such a language (those of V. Khlebnikov).

The idea of a special unitary and singular language of poetry is a typical utopian philosopheme of poetic discourse: it is grounded in the actual conditions and demands of poetic style, which is always a style adequately serviced by one directly intentional language from whose point of view other languages (conversational, business and prose languages, among others) are perceived as objects that are in no way its equal.¹⁵ The idea of a “poetic language” is yet another expression of that same Ptolemaic conception of the linguistic and stylistic world.

Language – like the living concrete environment in which the consciousness of the verbal artist lives – is never unitary. It is unitary only as an abstract grammatical system of normative forms, taken in isolation from the concrete, ideological conceptualizations that fill it, and in isolation from the uninterrupted process of historical becoming that is a characteristic of all living language. Actual social life and historical becoming create within an abstractly unitary national language a multitude of concrete worlds, a multitude of bounded verbal-ideological and social belief systems; within these various systems (identical in the abstract) are elements of language filled with various semantic and axiological content and each with its own different sound.

Literary language – both spoken and written – although it is unitary not only in its shared, abstract, linguistic markers but also in its forms for conceptualizing these abstract markers, is itself stratified and heteroglot in its aspect as an expressive system, that is, in the forms that carry its meanings.

This stratification is accomplished first of all by the specific organisms called *genres*. Certain features of language (lexicological, semantic, syntactic) will knit together with the intentional aim, and with the overall accentual system inherent in one or another genre: oratorical, publicistic, newspaper and journalistic genres, the genres of low literature (penny dreadfuls, for instance) or, finally, the various genres of high literature. Certain features of language take on the specific flavor of a given genre: they knit together with specific points of view, specific approaches, forms of thinking, nuances and accents characteristic of the given genre.

In addition, there is interwoven with this generic stratification of language a *professional* stratification of language, in the broad sense of the term “professional”: the language of the lawyer, the doctor, the businessman, the politician, the public education teacher and so forth, and these sometimes coincide with, and sometimes depart from, the stratification into genres. It goes without saying that these languages differ from each other not only in their vocabularies; they involve specific forms for manifesting intentions, forms for making conceptualization and evaluation concrete. And even the very language of the writer (the poet or novelist) can be taken as a professional jargon on a par with professional jargons.

What is important to us here is the intentional dimensions, that is, the denotative and expressive dimension of the “shared” language’s stratification. It is in fact not the neutral linguistic components of language being stratified and differentiated, but rather a

situation in which the intentional possibilities of language are being expropriated: these possibilities are realized in specific directions, filled with specific content, they are made concrete, particular, and are permeated with concrete value judgments; they knit together with specific objects and with the belief systems of certain genres of expression and points of view peculiar to particular professions. Within these points of view, that is, for the speakers of the language themselves, these generic languages and professional jargons are directly intentional – they denote and express directly and fully, and are capable of expressing themselves without mediation; but outside, that is, for those not participating in the given purview, these languages may be treated as objects, as typifications, as local color. For such outsiders, the intentions permeating these languages become *things*, limited in their meaning and expression; they attract to, or excise from, such language a particular word – making it difficult for the word to be utilized in a directly intentional way, without any qualifications.

But the situation is far from exhausted by the generic and professional stratification of the common literary language. Although at its very core literary language is frequently socially homogeneous, as the oral and written language of a dominant social group, there is nevertheless always present, even here, a certain degree of social differentiation, a social stratification, that in other eras can become extremely acute. Social stratification may here and there coincide with generic and professional stratification, but in essence it is, of course, a thing completely autonomous and peculiar to itself.

Social stratification is also and primarily determined by differences between the forms used to convey meaning and between the expressive planes of various belief systems – that is, stratification expresses itself in typical differences in ways used to conceptualize and accentuate elements of language, and stratification may not violate the abstractly linguistic dialectological unity of the shared literary language.

What is more, all socially significant world views have the capacity to exploit the intentional possibilities of language through the medium of their specific concrete instancing. Various tendencies (artistic and otherwise), circles, journals, particular newspapers, even particular significant artistic works and individual persons are all capable of stratifying language, in proportion to their social significance; they are capable of attracting its words and forms into their orbit by means of their own characteristic intentions and accents, and in so doing to a certain extent alienating these words and forms from other tendencies, parties, artistic works and persons.

Every socially significant verbal performance has the ability – sometimes for a long period of time, and for a wide circle of persons – to infect with its own intention certain aspects of language that had been affected by its semantic and expressive impulse, imposing on them specific semantic nuances and specific axiological overtones; thus, it can create slogan-words, curse-words, praise-words and so forth.

In any given historical moment of verbal-ideological life, each generation at each social level has its own language; moreover, every age group has as a matter of fact its own language, its own vocabulary, its own particular accentual system that, in their turn, vary depending on social level, academic institution (the language of the cadet, the high school student, the trade school student are all different languages) and other stratifying factors. All this is brought about by socially typifying languages, no matter how narrow the social circle in which they are spoken. It is even possible to have a family jargon

define the societal limits of a language, as, for instance, the jargon of the Irtelevs in Tolstoy, with its special vocabulary and unique accentual system.

And finally, at any given moment, languages of various epochs and periods of socio-ideological life cohabit with one another. Even languages of the day exist: one could say that today's and yesterday's socio-ideological and political "day" do not, in a certain sense, share the same language; every day represents another socio-ideological semantic "state of affairs," another vocabulary, another accentual system, with its own slogans, its own ways of assigning blame and praise. Poetry depersonalizes "days" in language, while prose, as we shall see, often deliberately intensifies difference between them, gives them embodied representation and dialogically opposes them to one another in unresolvable dialogues.

Thus at any given moment of its historical existence, language is heteroglot from top to bottom: it represents the coexistence of socio-ideological contradictions between the present and the past, between differing epochs of the past, between different socio-ideological groups in the present, between tendencies, schools, circles and so forth, all given a bodily form. These "languages" of heteroglossia intersect each other in a variety of ways, forming new socially typifying "languages."

Each of these "languages" of heteroglossia requires a methodology very different from the others; each is grounded in a completely different principle for marking differences and for establishing units (for some this principle is functional, in others it is the principle of theme and content, in yet others it is, properly speaking, a socio-dialectological principle). Therefore languages do not *exclude* each other, but rather intersect with each other in many different ways (the Ukrainian language, the language of the epic poem, of early Symbolism, of the student, of a particular generation of children, of the run-of-the-mill intellectual, of the Nietzschean and so on). It might even seem that the very word "language" loses all meaning in this process — for apparently there is no single plane on which all these "languages" might be juxtaposed to one another.

In actual fact, however, there does exist a common plane that methodologically justifies our juxtaposing them: all languages of heteroglossia, whatever the principle underlying them and making each unique, are specific points of view on the world, forms for conceptualizing the world in words, specific world views, each characterized by its own objects, meanings and values. As such they all may be juxtaposed to one another, mutually supplement one another, contradict one another and be interrelated dialogically. As such they encounter one another and coexist in the consciousness of real people — first and foremost, in the creative consciousness of people who write novels. As such, these languages live a real life, they struggle and evolve in an environment of social heteroglossia. Therefore they are all able to enter into the unitary plane of the novel, which can unite in itself parodic stylizations of generic languages, various forms of stylizations and illustrations of professional and period-bound languages, the languages of particular generations, of social dialects and others (as occurs, for example, in the English comic novel). They may all be drawn in by the novelist for the orchestration of his themes and for the refracted (indirect) expression of his intentions and values.

This is why we constantly put forward the referential and expressive — that is, intentional — factors as the force that stratifies and differentiates the common literary language, and not the linguistic markers (lexical coloration, semantic overtones, etc.) of

generic languages, professional jargons and so forth – markers that are, so to speak, the sclerotic deposits of an intentional process, signs left behind on the path of the real living project of an intention, of the particular way it imparts meaning to general linguistic norms. These external markers, linguistically observable and fixable, cannot in themselves be understood or studied without understanding the specific conceptualization they have been given by an intention.

Discourse lives, as it were, beyond itself, in a living impulse [*napravlennost'*] toward the object; if we detach ourselves completely from this impulse all we have left is the naked corpse of the word, from which we can learn nothing at all about the social situation or the fate of a given word in life. *To study the word as such, ignoring the impulse that reaches out beyond it, is just as senseless as to study psychological experience outside the context of that real life toward which it was directed and by which it is determined.*

By stressing the intentional dimension of stratification in literary language, we are able, as has been said, to locate in a single series such methodologically heterogeneous phenomena as professional and social dialects, world views and individual artistic works, for in their intentional dimension one finds that common plane on which they can all be juxtaposed, and juxtaposed dialogically. The whole matter consists in the fact that there may be, between “languages,” highly specific dialogic relations; no matter how these languages are conceived, they may all be taken as particular points of view on the world. However varied the social forces doing the work of stratification – a profession, a genre, a particular tendency, an individual personality – the work itself everywhere comes down to the (relatively) protracted and socially meaningful (collective) saturation of language with specific (and consequently limiting) intentions and accents. The longer this stratifying saturation goes on, the broader the social circle encompassed by it and consequently the more substantial the social force bringing about such a stratification of language, then the more sharply focused and stable will be those traces, the linguistic changes in the language markers (linguistic symbols), that are left behind in language as a result of this social force’s activity – from stable (and consequently social) semantic nuances to authentic dialectological markers (phonetic, morphological and others), which permit us to speak of particular social dialects.

As a result of the work done by all these stratifying forces in language, there are no “neutral” words and forms – words and forms that can belong to “no one”; language has been completely taken over, shot through with intentions and accents. For any individual consciousness living in it, language is not an abstract system of normative forms but rather a concrete heteroglot conception of the world. All words have the “taste” of a profession, a genre, a tendency, a party, a particular work, a particular person, a generation, an age group, the day and hour. Each word tastes of the context and contexts in which it has lived its socially charged life; all words and forms are populated by intentions. Contextual overtones (generic, tendentious, individualistic) are inevitable in the word.

As a living, socio-ideological concrete thing, as heteroglot opinion, language, for the individual consciousness, lies on the borderline between oneself and the other. The word in language is half someone else’s. It becomes “one’s own” only when the speaker populates it with his own intention, his own accent, when he appropriates the word, adapting it to his own semantic and expressive intention. Prior to this moment of appropriation, the word does not exist in a neutral and impersonal language (it is not,

after all, out of a dictionary that the speaker gets his words!), but rather it exists in other people's mouths, in other people's contexts, serving other people's intentions: it is from there that one must take the word, and make it one's own. And not all words for just anyone submit equally easily to this appropriation, to this seizure and transformation into private property: many words stubbornly resist, others remain alien, sound foreign in the mouth of the one who appropriated them and who now speaks them; they cannot be assimilated into his context and fall out of it; it is as if they put themselves in quotation marks against the will of the speaker. Language is not a neutral medium that passes freely and easily into the private property of the speaker's intentions; it is populated – overpopulated – with the intentions of others. Expropriating it, forcing it to submit to one's own intentions and accents, is a difficult and complicated process.

We have so far proceeded on the assumption of the abstract-linguistic (dialectological) unity of literary language. But even a literary language is anything but a closed dialect. Within the scope of literary language itself there is already a more or less sharply defined boundary between everyday-conversational language and written language. Distinctions between genres frequently coincide with dialectological distinctions (for example, the high – Church Slavonic – and the low – conversational – genres of the eighteenth century); finally, certain dialects may be legitimized in literature and thus to a certain extent be appropriated by literary language.

As they enter literature and are appropriated to literary language, dialects in this new context lose, of course, the quality of closed socio-linguistic systems; they are deformed and in fact cease to be that which they had been simply as dialects. On the other hand, these dialects, on entering the literary language and preserving within it their own dialectological elasticity, their other-languagedness, have the effect of deforming the literary language; it, too, ceases to be that which it had been, a closed socio-linguistic system. Literary language is a highly distinctive phenomenon, as is the linguistic consciousness of the educated person who is its agent; within it, intentional diversity of speech [*raznorečivost'*] (which is present in every living dialect as a closed system) is transformed into diversity of language [*raznojazyčie*]; what results is not a single language but a dialogue of languages.

The national literary language of a people with a highly developed art of prose, especially if it is novelistic prose with a rich and tension-filled verbal-ideological history, is in fact an organized microcosm that reflects the macrocosm not only of national heteroglossia, but of European heteroglossia as well. The unity of a literary language is not a unity of a single, closed language system, but is rather a highly specific unity of several "languages" that have established contact and mutual recognition with each other (merely one of which is poetic language in the narrow sense). Precisely this constitutes the peculiar nature of the methodological problem in literary language.

Concrete socio-ideological language consciousness, as it becomes creative – that is, as it becomes active as literature – discovers itself already surrounded by heteroglossia and not at all a single, unitary language, inviolable and indisputable. The actively literary linguistic consciousness at all times and everywhere (that is, in all epochs of literature historically available to us) comes upon "languages," and not language. Consciousness finds itself inevitably facing the necessity of *having to choose a language*. With each literary-verbal performance, consciousness must actively orient itself amidst heteroglossia, it must move in and occupy a position for itself within it, it chooses, in other

words, a "language." Only by remaining in a closed environment, one without writing or thought, completely off the maps of socio-ideological becoming, could a man fail to sense this activity of selecting a language and rest assured in the inviolability of his own language, the conviction that his language is predetermined.

Even such a man, however, deals not in fact with a single language, but with languages – except that the place occupied by each of these languages is fixed and indisputable, the movement from one to the other is predetermined and not a thought process; it is as if these languages were in different chambers. They do not collide with each other in his consciousness, there is no attempt to coordinate them, to look at one of these languages through the eyes of another language.

Thus an illiterate peasant, miles away from any urban center, naively immersed in an unmoving and for him unshakable everyday world, nevertheless lived in several language systems: he prayed to God in one language (Church Slavonic), sang songs in another, spoke to his family in a third and, when he began to dictate petitions to the local authorities through a scribe, he tried speaking yet a fourth language (the official-literate language, "paper" language). All these are *different languages*, even from the point of view of abstract socio-dialectological markers. But these languages were not dialogically coordinated in the linguistic consciousness of the peasant; he passed from one to the other without thinking, automatically: each was indisputably in its own place, and the place of each was indisputable. He was not yet able to regard one language (and the verbal world corresponding to it) through the eyes of another language (that is, the language of everyday life and the everyday world with the language of prayer or song, or vice versa).¹⁶

As soon as a critical interanimation of languages began to occur in the consciousness of our peasant, as soon as it became clear that these were not only various different languages but even internally variegated languages, that the ideological systems and approaches to the world that were indissolubly connected with these languages contradicted each other and in no way could live in peace and quiet with one another – then the inviolability and predetermined quality of these languages came to an end, and the necessity of actively choosing one's orientation among them began.

The language and world of prayer, the language and world of song, the language and world of labor and everyday life, the specific language and world of local authorities, the new language and world of the workers freshly immigrated to the city – all these languages and worlds sooner or later emerged from a state of peaceful and moribund equilibrium and revealed the speech diversity in each.

Of course the actively literary linguistic consciousness comes upon an even more varied and profound heteroglossia within literary language itself, as well as outside it. Any fundamental study of the stylistic life of the word must begin with this basic fact. The nature of the heteroglossia encountered and the means by which one orients oneself in it determine the concrete stylistic life that the word will lead.

The poet is a poet insofar as he accepts the idea of a unitary and singular language and a unitary, monologically sealed-off utterance. These ideas are immanent in the poetic genres with which he works. In a condition of actual contradiction, these are what determine the means of orientation open to the poet. The poet must assume a complete single-personed hegemony over his own language, he must assume equal responsibility for each one of its aspects and subordinate them to his own, and only

his own, intentions. Each word must express the poet's *meaning* directly and without mediation; there must be no distance between the poet and his word. The meaning must emerge from language as a single intentional whole: none of its stratification, its speech diversity, to say nothing of its language diversity, may be reflected in any fundamental way in his poetic work.

To achieve this, the poet strips the word of others' intentions, he uses only such words and forms (and only in such a way) that they lose their link with concrete intentional levels of language and their connection with specific contexts. Behind the words of a poetic work one should not sense any typical or reified images of genres (except for the given poetic genre), nor professions, tendencies, directions (except the direction chosen by the poet himself), nor world views (except for the unitary and singular world view of the poet himself), nor typical and individual images of speaking persons, their speech mannerisms or typical intonations. *Everything that enters the work must immerse itself in Lethe, and forget its previous life in any other contexts: language may remember only its life in poetic contexts (in such contexts, however, even concrete reminiscences are possible).*

Of course there always exists a limited sphere of more or less concrete contexts, and a connection with them must be deliberately evidenced in poetic discourse. But these contexts are purely semantic and, so to speak, accented in the abstract; in their linguistic dimension they are impersonal or at least no particularly concrete linguistic specificity is sensed behind them, no particular manner of speech and so forth, no socially typical linguistic face (the possible personality of the narrator) need peek out from behind them. Everywhere there is only one face – the linguistic face of the author, answering for every word as if it were his own. No matter how multiple and varied these semantic and accentual threads, associations, pointers, hints, correlations that emerge from every poetic word, one language, one conceptual horizon, is sufficient to them all; there is no need of heteroglot social contexts. What is more, the very movement of the poetic symbol (for example, the unfolding of a metaphor) presumes precisely this unity of language, an unmediated correspondence with its object. Social diversity of speech, were it to arise in the work and stratify its language, would make impossible both the normal development and the activity of symbols within it.

The very rhythm of poetic genres does not promote any appreciable degree of stratification. *Rhythm, by creating an unmediated involvement between every aspect of the accentual system of the whole* (via the most immediate rhythmic unities), destroys in embryo those social worlds of speech and of persons that are potentially embedded in the word: in any case, rhythm puts definite limits on them, does not let them unfold or materialize. Rhythm serves to strengthen and concentrate even further the unity and hermetic quality of the surface of poetic style, and of the unitary language that this style posits.

As a result of this work – stripping all aspects of language of the intentions and accents of other people, destroying all traces of social heteroglossia and diversity of language – a tension-filled unity of language is achieved in the poetic work. This unity may be naive, and present only in those extremely rare epochs of poetry, when poetry had not yet exceeded the limits of a closed, unitary, undifferentiated social circle whose language and ideology were not yet stratified. More often than not, we experience a profound and conscious tension through which the unitary poetic language of a work rises from the heteroglot and language-diverse chaos of the literary language contemporary to it.

This is how the poet proceeds. The novelist working in prose (and almost any prose writer) takes a completely different path. He welcomes the heteroglossia and language diversity of the literary and extraliterary language into his own work not only not weakening them but even intensifying them (for he interacts with their particular self-consciousness). It is in fact out of this stratification of language, its speech diversity and even language diversity, that he constructs his style, while at the same time he maintains the unity of his own creative personality and the unity (although it is, to be sure, unity of another order) of his own style.

The prose writer does not purge words of intentions and tones that are alien to him, he does not destroy the seeds of social heteroglossia embedded in words, he does not eliminate those language characterizations and speech mannerisms (potential narrator-personalities) glimmering behind the words and forms, each at a different distance from the ultimate semantic nucleus of his work, that is, the center of his own personal intentions.

The language of the prose writer deploys itself according to degrees of greater or lesser proximity to the author and to his ultimate semantic instantiation: certain aspects of language directly and unmediatedly express (as in poetry) the semantic and expressive intentions of the author, others refract these intentions; the writer of prose does not meld completely with any of these words, but rather accents each of them in a particular way – humorously, ironically, parodically and so forth;¹⁷ yet another group may stand even further from the author's ultimate semantic instantiation, still more thoroughly refracting his intentions; and there are, finally, those words that are completely denied any authorial intentions: the author does not express *himself* in them (as the author of the word) – rather, he *exhibits* them as a unique speech-thing, they function for him as something completely reified. Therefore the stratification of language – generic, professional, social in the narrow sense, that of particular world views, particular tendencies, particular individuals, the social speech diversity and language-diversity (dialects) of language – upon entering the novel establishes its own special order within it, and becomes a unique artistic system, which orchestrates the intentional theme of the author.

Thus a prose writer can distance himself from the language of his own work, while at the same time distancing himself, in varying degrees, from the different layers and aspects of the work. He can make use of language without wholly giving himself up to it, he may treat it as semi-alien or completely alien to himself, while compelling language ultimately to serve all his own intentions. The author does not speak in a given language (from which he distances himself to a greater or lesser degree), but he speaks, as it were, *through* language, a language that has somehow more or less materialized, become objectivized, that he merely ventriloquates.

The prose writer as a novelist does not strip away the intentions of others from the heteroglot language of his works, he does not violate those socio-ideological cultural horizons (big and little worlds) that open up behind heteroglot languages – rather, he welcomes them into his work. The prose writer makes use of words that are already populated with the social intentions of others and compels them to serve his own new intentions, to serve a second master. Therefore the intentions of the prose writer are refracted, and refracted *at different angles*, depending on the degree to which the refracted, heteroglot languages he deals with are socio-ideologically alien, already embodied and already objectivized.

The orientation of the word amid the utterances and languages of others, and all the specific phenomena connected with this orientation, takes on *artistic* significance in novel style. Diversity of voices and heteroglossia enter the novel and organize themselves within it into a structured artistic system. This constitutes the distinguishing feature of the novel as a genre.

Any stylistics capable of dealing with the distinctiveness of the novel as a genre must be a *sociological stylistics*. The internal social dialogism of novelistic discourse requires the concrete social context of discourse to be exposed, to be revealed as the force that determines its entire stylistic structure, its “form” and its “content,” determining it not from without, but from within; for indeed, social dialogue reverberates in all aspects of discourse, in those relating to “content” as well as the “formal” aspects themselves.

The development of the novel is a function of the deepening of dialogic essence, its increased scope and greater precision. Fewer and fewer neutral, hard elements (“rock bottom truths”) remain that are not drawn into dialogue. Dialogue moves into the deepest molecular and, ultimately, subatomic levels.

Of course, even the poetic word is social, but poetic forms reflect lengthier social processes, i.e., those tendencies in social life requiring centuries to unfold. The novelistic word, however, registers with extreme subtlety the tiniest shifts and oscillations of the social atmosphere; it does so, moreover, while registering it as a whole, in all of its aspects.

When heteroglossia enters the novel it becomes subject to an artistic reworking. The social and historical voices populating language, all its words and all its forms, which provide language with its particular concrete conceptualizations, are organized in the novel into a structured stylistic system that expresses the differentiated socio-ideological position of the author amid the heteroglossia of his epoch.

NOTES

- 1 As recently as the 1920s, V. M. Žirmunskij [important fellow-traveler of the formalists, ed.] was writing: “When lyrical poetry appears to be authentically a work of *verbal art*, due to its choice and combination of words (on semantic as well as sound levels) all of which are completely subordinated to the aesthetic project, Tolstoy’s novel, by contrast, which is free in its verbal composition, does not use words as an artistically significant element of interaction but as a neutral medium or as a system of significations subordinated (as happens in practical speech) to the communicative function, directing our attention to thematic aspects quite abstracted from purely verbal considerations. We cannot call such a *literary work* a work of *verbal art* or, in any case, not in the sense that the term is used for lyrical poetry” [“On the Problem of the Formal Method,” in an anthology of his articles, *Problems of a Theory of Literature* (Leningrad, 1928, p. 173); Russian edition: “K voprosu o ‘formal’nom metode,” in *Voprosy teorii literatury*, (L., 1928)].
- 2 Artistic prose style has been studied in Russia by the Formalists largely on these two last levels, that is, either *skaz* (Eichenbaum) or plot-informational aspects (Shklovsky) were studied as most characteristic of literary prose. [See also pp. 31–53 in this book.]
- 3 Such a solution to the problem was especially tempting to adherents of the formal method in poetics: in fact, the re-establishment of rhetoric, with all its rights, greatly strengthens the Formalist position. Formalist rhetoric is a necessary addition to Formalist poetics. Our

- Formalists were being completely consistent when they spoke of the necessity of reviving rhetoric alongside poetics (on this, see B. M. Eichenbaum, *Literature*, [Literatura; Leningrad, 1927], pp. 147–148).
- 4 Gustav Shpet (1879–1937), outstanding representative of the neo-Kantian and (especially) Husserlian traditions in Russia; as professor at the University of Moscow for many years he influenced many (among others, the young Roman Jakobson). *M. H. note.*
 - 5 Originally in his *Aesthetic Fragments* [Estetičeskie fragmenty]; in a more complete aspect in the book *The Inner Form of the Word* [Vnutrennjaja forma slova] (M., 1927).
 - 6 *Vnutrennjaja forma slova*, p. 215.
 - 7 Viktor Vinogradov (1895–1969), outstanding linguistic and student of style in literature, a friendly critic of the Formalists, and an important theorist in his own right (especially his work on *skaz* technique). *M. H. note.*
 - 8 V. V. Vinogradov, *On Artistic Prose* [O xudožestvennom proze], Moscow-Leningrad, 1930, pp. 75–106.
 - 9 Linguistics acknowledges only a mechanical reciprocal influencing and intermixing of languages, (that is, one that is unconscious and determined by social conditions) which is reflected in abstract linguistic elements (phonetic and morphological).
 - 10 Highly significant in this respect is the struggle that must be undertaken in such movements as Rousseauism, Naturalism, Impressionism, Acmeism, Dadaism, Surrealism and analogous schools with the “qualified” nature of the object (a struggle occasioned by the idea of a return to primordial consciousness, to original consciousness, to the object itself in itself, to pure perception and so forth).
 - 11 The Horatian lyric, Villon, Heine, Laforgue, Annenskij and others – despite the fact that these are extremely varied instances.
 - 12 Cf. V. Vinogradov’s book *On Artistic Prose*, the chapter “Rhetoric and Poetics,” pp. 75ff., where definitions taken from the older rhetorics are introduced.
 - 13 Cf. B. M. Eichenbaum’s book *Lev Tolstoj*, book I (Leningrad, 1928), which contains much relevant material; for example, an explication of the topical context of “Family Happiness.”
 - 14 It goes without saying that we continually advance as typical the extreme to which poetic genres aspire; in concrete examples of poetic works it is possible to find features fundamental to prose, and numerous hybrids of various generic types exist. These are especially widespread in periods of shift in literary poetic languages.
 - 15 Such was the point of view taken by Latin toward national languages in the Middle Ages.
 - 16 We are of course deliberately simplifying: the real-life peasant could and did do this to a certain extent.
 - 17 That is to say, the words are not his if we understand them as direct words, but they are his as things that are being transmitted ironically, exhibited and so forth, that is, as words that are understood from the distances appropriate to humor, irony, parody, etc.