

THE QUIXOTIC NOVEL
FROM THE POINT OF VIEW OF THE NARRATIVE

By

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A DISSERTATION PRESENTED TO THE GRADUATE COUNCIL
OF THE UNIVERSITY OF FLORIDA
IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE
DEGREE OF DOCTOR OF PHILOSOPHY

UNIVERSITY OF FLORIDA

1977

ACKNOWLEDGMENTS

Dr. Alistair Duckworth inspired this study months before it was begun and directed it, with patience and understanding, through the many months it took to write it. I will always be grateful to him for his guidance and support.

Dr. Gregory Ulmer read the manuscript in an incomplete version and at the most crucial moment in the enterprise, when I thought I was at a dead end, showed me how to proceed. The better parts of Chapters Four and Five, in particular, I owe to him.

I am also grateful to Dr. William Childers, Dr. John Perlette, and Dr. Fernando Ibarra, the other members of my supervisory committee. They were always helpful and encouraging and, although given little time, they read my manuscript with care.

Finally, I owe much more than can be expressed here to Jesse, my wife. She has endured some trying times and lent me strength. Of course, I could not have done it without her.

TABLE OF CONTENTS

ACKNOWLEDGMENTS.....	11
ABSTRACT.....	iv
CHAPTER ONE - INTENTIONS, PROBLEMS, AND METHODS.....	1
NOTES.....	20
CHAPTER TWO - DON QUIXOTE IN LITERARY HISTORY: A SURVEY OF INTERPRETATIONS.....	23
NOTES.....	71
CHAPTER THREE - SANCHE PANZA FROM THE POINT OF VIEW OF THE NARRATIVE.....	76
NOTES.....	126
CHAPTER FOUR - THE CHARACTER OF DON QUIXOTE AND THE DISCOURSE OF <u>DON QUIXOTE</u>	128
NOTES.....	196
CHAPTER FIVE - MOBILE FRAGMENTS: ELEMENTS OF THE NARRATIVE SYSTEM OF THE QUIXOTIC NOVEL IN <u>MOBY DICK</u> , <u>MADAME BOVARY</u> , <u>MIDDLEMARCH</u> , AND <u>THE GREAT GATSBY</u>	198
NOTES.....	250
BIBLIOGRAPHY.....	251
BIOGRAPHICAL SKETCH.....	255

Abstract of Dissertation
Presented to the Graduate Council
of the University of Florida
in Partial Fulfillment of the Requirements
for the Degree of Doctor of Philosophy

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August, 1977

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This study is an examination of the narrative system of the Quixotic Novel. A method of analysis synthesizing Vladimir Propp's methods in Morphology Of The Folk Tale and Roland Barthes's methods in S/Z is proposed, described, and used to investigate narrative structures in Don Quixote and four other Quixotic Novels, Moby Dick, Madame Bovary, Middlemarch, and The Great Gatsby.

The narratives of the later Quixotic Novels seem to be linked to each other and to Don Quixote by their connection to an abstract substratum, a narrative system which is too complex to be fully described but which can be identified. Certain narrative elements found in the narrative system of Don Quixote reappear in each of the later novels.

These "mobile fragments" take different configurations in each of the novels, but by studying these configurations we can compare the novels and we can examine how narrative structure engenders meaning in the five novels.

CHAPTER ONE
INTENTIONS, PROBLEMS, AND METHODS

1. Introduction

This study began as an attempt to describe the narrative structure of the Quixotic Novel. I was attracted to the subject for two reasons: first, because I had noticed the term "Quixotic Novel" was used fairly often and rather loosely to characterize a cluster of interesting novels, but the term had, as far as I could tell, no commonly accepted, authorized definition;¹ and second, because certain critical texts had interested me in the "structural" analysis of narrative. I hoped I would be able to find some simple formula to describe the narrative system in Don Quixote and use that formula to analyze other members of the genre of the Quixotic Novel.

It seemed to me then, and it does still, that the genre of the Quixotic Novel is not characterized so much by metaphysical, philosophical, or psychological content (as it is often argued) as much as it is characterized by a certain narrative structure. I have found, unfortunately, that there seems no simple way of describing that structure. Instead, it seems best to describe the narrative structure of the Quixotic Novel as a "complex of narrative patterns." Another way to describe it is as "an elastic structure": although no single narrative formula generates all the narrative in any single Quixotic Novel, the narratives of Moby Dick, Madame Bovary, Middlemarch, The Great Gatsby, and, I think, other Quixotic Novels show tendencies to repeat the

narrative patterns and forms in Don Quixote.

Chapters Three and Four of this study are an investigation of the patterns and forms in the narrative system of Don Quixote. Chapter Three is an argument for the "demystification" of the character of Sancho Panza: an examination of Sancho's functions in two kinds of narrative sequence suggests that his character is not an independent, homogeneous entity; it is, instead, a complex of functions generated by the necessities of the narrative discourse. Chapter Four is a qualification and extension of the arguments of Chapter Three: I argue there that by examining the relationship between Don Quixote's character and the discourse of the novel we can make a preliminary sketch of the "model" that generates Don Quixote. Chapter Five is a brief investigation of the other novels named above: I argue there that the analysis in Chapters Three and Four helps us to identify what Roland Barthes would call "the mobile fragments" in the Quixotic Novel-- the units "whose differential situation engenders" meanings in Moby Dick, Madame Bovary, Middlemarch, and The Great Gatsby.²

It seems to me that we can recognize Quixotic Novels intuitively: reading Moby Dick or Madame Bovary we sense that Melville and Flaubert are repeating and modifying patterns we have read in Don Quixote and in other Quixotic Novels. Of course, neither Melville nor Flaubert nor any novelist has set out to write a novel according to the formulas and diagrams used in this study to describe the patterns in Don Quixote. Nevertheless, Cervantes's narrative system is repeated and modified in Moby Dick, Madame Bovary, and other novels.

The question of how this system is passed from Cervantes down to

other authors is an interesting one. Some structuralists would argue that it is not Cervantes who determines the form of the Quixotic Novel; it is a language system that "speaks" Cervantes. Although my own opinion is close to that and in Chapter Four I suggest a theory about the mechanics of Cervantes's influence on other authors, I intend to leave the final resolution of this question to better qualified scholars. My intention here is more limited: to describe as best I can elements in Don Quixote which reappear in other, later novels. This study is, then, only a first step toward a fuller understanding of the genre of the Quixotic Novel. I hope it is a useful beginning. I hope my reader will find here a new way of looking at Don Quixote and the cluster of Quixotic Novels.

There are methodological problems with a study of this kind. First of all, there is the problem of Cervantine criticism: it is immense (Manuel Durán believes no scholar could read even half of it in a lifetime)³ and it contains some of the best work by some of the most learned and brilliant readers of Western literature. Ivan Turgenev, Miguel de Unamuno, Ortega y Gasset, Jorge Luis Borges, and W. H. Auden have all written about Don Quixote, as have Salvador de Madariaga, Erich Auerbach, Leo Spitzer, Gerald Brenan, E. C. Riley, Harry Levin, René Girard, Dorothy Van Ghent, Claudio Guillen, Robert M. Adams, and Robert Alter. Many of the studies of Don Quixote, in fact, deserve full-length studies themselves. In Chapter Two I have examined a few of them in brief detail. My intention in that chapter is not to summarize all that has been written about Don Quixote, but rather to give an example of the kind of approach generally adopted by Cervantine critics. Generally,

critics interested in examining Cervantes's influence on literary history do not focus on what Roland Barthes would call the "implicit system of units and rules" in the narrative of Don Quixote.⁴

Barthes's S/Z (1970, trans. 1974), his study of Balzac's "Sarrasine," is one of the texts that interested me in investigating the narrative system of Don Quixote. The other text is Propp's Morphology Of The Folk Tale (1928, trans. 1958, 1968). Using these two texts as sources creates a second methodological problem: the body of structuralist criticism, although not yet as immense as the body of Cervantine criticism, has become so large that it is now difficult to define exactly what structuralist criticism is. It is for this reason that I have avoided using the terms "structuralist" and "structuralism" to describe the kind of criticism I am doing in the analysis of the narrative of Don Quixote. I have instead adopted a phrase from Propp which characterizes his kind of analysis and, I think, the kind of analysis I am doing here. Propp looks at his tales "from the point of view of the narrative."⁵ He means that the text must be seen as a self-generating entity, a system operating by laws which are not apparent to the average reader. Propp compares his approach to that of the grammarian cataloguing the parts of speech of a language: in precise, objective descriptions the analyst finds the "abstract substrata" that determine the form of narrative. Whether or not this approach is "structuralist" (Robert Scholes calls Propp, "the first pope of the orthodox sect [of structuralism]"⁶), Propp's Morphology is a valuable work of criticism and the methods in it are

worth imitating. I have the same feeling about S/Z. Roland Barthes has gone on to other things and other methods since his "structural analysis" of "Sarrasine" in 1970 and so has continued to change his readers' ideas of what "structural analysis" is, but for me his most valuable work appears in S/Z. I think a synthesis of Propp's methods in his Morphology and Barthes's methods in S/Z is possible. This synthesis is described in the second half of this chapter and forms the starting point for my approach to the Quixotic Novel "from the point of view of the narrative."

Two other methodological problems should be mentioned. The use of symbolic notation is a problem. Perhaps the most unappealing aspect of Propp's Morphology and of much recent narratology is the use of mathematical and pseudo-mathematical terminology and formulas to describe literary elements. Propp ends his book with a six-page appendix listing more than two hundred symbols for narrative elements (W* stands for "wedding and accession to the throne"; H³ stands for "a game of cards"⁷). In a recent essay analyzing two passages of narrative William O. Hendricks concludes a line of thought by stating, "The terms S_1 and S_2 are contraries whereas S_1 and \bar{S}_1 are contradictories. A relation of presupposition exists between S_1 and \bar{S}_2 , i.e. S_1 implies \bar{S}_2 (likewise, \bar{S}_2 and \bar{S}_1) but not vice versa."⁸ This kind of mathematical description bothered me, not because it cannot be used effectively--Propp, Hendricks, and, recently, John Holloway have used symbolic notation very effectively--but because it seems, at first glance, disingenuous. I intended to avoid using such notation in this study. I found, however, that there seemed no easier way to describe the narrative

patterns and repetitions described in Chapters Three and Four than by the use of symbolic notations and diagrams. I ask my reader to bear with me. I have tried to keep the symbols and diagrams to a minimum.

The last methodological problem I will mention is the problem of the list of Quixotic Novels. Just as there is no authorized definition of the term "Quixotic Novel" there is no authorized list of all the members of the set. In an essay entitled "The Quixotic Principle" Harry Levin lists more than two dozen books which seem to work by the same principle (which he avoids defining): Joseph Andrews is like Don Quixote because it is about the problem of literary influence; Fathers And Sons and War And Peace are like Don Quixote because they have characters (Bazarov and Count Pierre) who are "quixotic zealots"; Pickwick Papers, "with its paunchy middle-class knight and its boot-shining cockney squire, is decidedly Cervantine"; A Farewell To Arms is like Don Quixote because it explodes "the rhetoric of abstraction"; Joyce is like Cervantes in that he is essentially a parodist; the list goes on.⁹ Leo Spitzer in an essay entitled "On the Significance Of Don Quixote" names Sterne, Goethe, Melville, Flaubert, Balzac, Maupassant, Thackeray, Tolstoy, Proust, Mann, and Faulkner as imitators of Cervantes.¹⁰ Originally, I hoped to be able to verify (or falsify) the various lists of Quixotic Novels by describing the simple formula that structured the narrative of Don Quixote. As soon as I realized that the structure of the narrative system in Don Quixote was a complex of patterns rather than a simple pattern, however, I knew I would not have the time to consider many of the novels various critics have claimed are "Quixotic." I have had to limit my investigation to four

which are named often as members of the genre. Moby Dick, Madame Bovary, Middlemarch, and The Great Gatsby will certainly be included in the complete history of the Quixotic Novel, if it is ever written.

2. Propp And Barthes: A Synthesis

No structuralist has yet produced a model of narrative form convincing enough to be universally accepted. Instead, it sometimes seems there are almost as many theoretical structures as there are structuralist theorists: Lévi-Straus's mythemes, Claude Bremond's triads, Claude Greimas's actants and modes, Tzvetan Todorov's minimal schema, and many others. (There are at least two excellent surveys of these various theories: in Robert Scholes's Structuralism In Literature¹¹ and in Jonathan Culler's Structuralist Poetics¹² .) It seems the only theory with which all of the above-named critics agree is that there is a system in narrative. All seem to agree with Barthes who has declared, "No one can produce a narrative without referring himself to an implicit system of units and rules."¹³

Even the most unsophisticated reader has, I think, an intuitive understanding of narrative which is close to (although not quite the same as) Barthes's: narrative is essentially a special form of language; it operates by laws that do not apply to ordinary discourse. Even the most unsophisticated reader reads narrative in a different spirit and with different expectations than he reads other pieces of printed material. Opening Don Quixote we are expecting Cervantes to perform a certain task, to give us a novel, to give us a unified--and so, by implication, a systematic--work.

The difficulty narratologists have encountered is that it is much harder to describe this system of units and rules than it is to sense

that it is there. We know it is there, but we haven't yet satisfactorily been able to put it into a meta-language; we haven't yet managed to find an absolutely satisfactory way to articulate the system.

I find Propp's Morphology Of The Folk Tale and Barthes's S/Z especially admirable because each combines an intuitively appealing theory (in Barthes's case it is actually a system of theories) with a close practical application. Propp examines one hundred Russian fairy tales; Barthes examines Balzac's short story "Sarrasine." Both critical texts are complex and difficult, but both are based on fairly simple principles. Furthermore, they seem to be, at least in a few ways, closely related, and a synthesis of the two methods is possible.

Propp believes, and presents quite convincing evidence to prove, that there are a limited number of elements that make up all fairy tales (or, as he carefully puts it, all the fairy tales he examines).¹⁴ He argues that there are really just two kinds of elements that make up all tales: "spheres of action" (the roles characters play) and "functions" (the acts characters perform). There are, in the one hundred tales he reads, only seven different spheres and only thirty-one different functions. The number of possible permutations of the spheres and functions is, of course, large, but the number of basic elements is small. "This explains," Propp writes, "the two-fold quality of a tale: its amazing multiformity, picturesqueness, and color, and,¹⁵ on the other hand, its no less striking uniformity, its repetition."

Barthes is also interested in repetition in narratives. In S/Z he argues that no writer invents a story or even the elements in a story; the writer, instead, invokes the "already-written."¹⁶ The

already written is the source of the five codes Barthes finds operating in "Sarrasine." Balzac, according to Barthes, does not create some new tale out of his imagination; he draws upon, and so repeats, certain formulas and elements already existing in the language.

It is in this way that Propp and Barthes are close. (Barthes has read Propp, by the way.)¹⁷ Both maintain that tale-tellers do not invent tales in the way it is usually thought that they do. What tale-tellers do is "interweave" (the word appears in both books) certain, recognizable, familiar, generic elements. By this argument tale-telling is not an act of creation; it is an act of combination, of permutation.

The two theories are close in another way. Both Propp and Barthes understand chronology to be composed of a series of smaller, chronological units. Propp calls these units "moves"; Barthes calls them elements in the "actional code." Neither is as precise about these elements as he might have been, however.

Propp's distinction between what he means by a move and what he means by a tale is perhaps the least precise passage in what is, on the whole, a careful and very precise analysis. He recognizes that the definition he has presented for the tale can also be used to define tales-within-tales and even smaller chronological sequences, but he is not quite able to describe the differences separating each of these units:

Morphologically, a folk tale may be termed any development out of a villainy, or a lack through intermediary functions, to marriage or to other functions used in the capacity of the denouement....This type of development is termed by us a move. Each new act of villainy, each new lack creates a new move. One folk tale may have several moves; and one must first of

all determine, when analyzing a text, the number of moves it consists of...One move may immediately follow another; yet they may also interweave; a development which has begun pauses, and a new move is inserted. Singling out a move is not always an easy matter, but it is always possible with complete exactness. However, if we conditionally define the folk tale as a move, this still does not mean the quantity of folk tales corresponds exactly to the quantity of moves. Particular devices of parallelism, repetitions, etc., lead to the point where one folk tale may be comprised of (sic) several moves.¹⁸

Propp (or his translator) is not clear on this point: a tale cannot be both "any development out of a villainy or a lack" and also consist of several moves which are themselves developments from villainies and lacks. Nevertheless, Propp's suggestion about the kinetic force of narrative has an appeal and has been adopted by several other analysts: narrative moves, by this argument, from a deficiency (a villainy or a lack) toward the liquidation of that deficiency. Tzvetan Todorov has explained the principle in other words:

All narrative is a movement between two equilibriums which are similar but not identical. At the start of the narrative there is always a stable situation....Subsequently, something occurs which introduces a disequilibrium....At the end ¹⁹ of the story....the equilibrium is re-established.

Barthes calls the smallest actional elements in the chronology of "Sarrasine" the "proairetisms." In his system the actional code is one of the two "irreversible" codes (the other is the hermeneutic code), that is, it can be read in only one direction and it thus creates (with the hermeneutic code) the chronological structure of the narrative. These sequences work because the reader recognizes them.

The actional code structures the narrative because the reader knows what to expect once he realizes that the narrative contains a stroll, a murder, a rendezvous, or some other familiar sequence. Barthes explains:

Actions can fall into various sequences which should be indicated merely by listing them, since the proairetic sequence is never more than the result of the artifice of reading: whoever reads the text amasses certain data under some generic titles for actions (stroll, murder, rendezvous), and this title embodies the sequence; the sequence exists when and because it can be given a name, it unfolds as this process of naming takes place, as a title is sought or confirmed...²⁰

The sequence exists, then, and the narrative has chronological structure because the reader is familiar with the generic form the sequence embodies: "the sequence exists when and because it can be given a name..." "Naming" a sequence means recognizing its genre; if we can recognize the genre, the sequence must exist somewhere in the already written (and, of course, in the already read). If the sequence did not previously exist, if the author managed to create some absolutely original sequence, we could not name it, we would not know it: there can be no generic title for something that has never been known to exist.

Propp's move can be compared to Barthes's proairetism by observing how Propp and Barthes describe the kinetic force of these sequences. For Propp it is a movement from the invocation of a deficiency to the liquidation of the deficiency, from an imbalance to the restoration of balance; for Barthes the sequence "unfolds" as the reader names it. The two descriptions seem different unless we examine one important

passage in S/Z where Barthes draws his theory close to Propp's. It is in his analysis of the first clause of the first sentence of "Sarrasine." The story begins, "I was deep in one of those daydreams..." Barthes maintains that the antithesis implied here (between dreaming and waking) is an element in the symbolic code, but then in one of those strange and ingenious transitions that characterize his work, Barthes goes on to describe the actional code, the code of the proairetisms: the sequential nature of the antithesis is important--dreaming must be following by waking.

The state of absorption formulated here (I was deep in...) already implies... some event which will bring it to an end (when I was roused by a conversation...) Such sequences imply a logic in human behavior. In Aristotelian terms, in which praxis is linked to proairesis, or the ability rationally to determine the result of an action, we shall name this code of actions and behavior proairetic...²¹

In that transition is hidden the link between Barthes's analysis of chronology and Propp's: both of them find at the heart of chronological structure the sequential connection which is as old as reason, the sequential connection between cause and effect.

A fairy tale, according to Propp, contains chronological movement because a cause is invoked (a dragon steals a king's daughter, thus performing a villainy and creating a deficiency) and an effect is promised (something will complete the sequence: the king will save, or lose, his daughter).

"Sarrasine," according to Barthes, contains chronological movement because the proairetism is a "logico-temporal" element (daydreams must always lead to awakenings in a sequence which can be entitled "To be deep in"). The usual paradigm of proairetisms, Barthes argues,

is something like begin/end, continue/stop. ... The nature of the phenomenon established by the notation is capped by a conclusion and consequently seems to be the subject to some logic (as long as temporality appears: the classic narrative is basically subject to the logico-temporal order). Writing "the end" (a phrase which is precisely both temporal and logical) thus posits everything that has been written as having been a tension which "naturally" requires resolution, a consequence, an end...²²

A hybrid form of the two explanations would look like this: the fundamental tissue of chronology is woven out of recognizable cause and effect sequences. A story has chronology because it contains the sequential action of cause and effect; there may be several sequences and they may interlock (one may pause while another moves toward its conclusion), but each cause must have an effect; each time a deficiency is invoked, a cause announced, the narrative must eventually move toward the liquidation of that deficiency, toward the effect which will bring the conclusion to the sequence. The kinetic energy of narrative chronology is created by disequilibrium: an imbalance moves the reader into and through the narrative; the reader reads on to have his sense of equilibrium restored.

There is another clear connection between the Morphology and S/Z: each involves the demystification of character. Both Propp and Barthes are intent upon examining characters as narrative elements rather than as mimetic constructions. Propp proposes that character be examined "from the point of view of the narrative."²³ He analyzes character in the hundred tales by tabulating the functions performed by the dramatis personae. "The functions of a folktale's dramatis personae must be considered its basic components," he argues. Propp looks at character to see how the character's acts energize the narrative.

Barthes's demystification of character seems more radical than Propp's because "Sarrasine" is a serious work of literature, but the approach is not entirely new. In Anglo-American letters the demystification of character goes back at least to 1933 when L. C. Knights published his well-known, iconoclastic essay "How Many Children Had Lady Macbeth?" Knights argues there that the psychologically-based and-biased criticism of A. C. Bradley and others has led to an exaggerated and inaccurate emphasis on "character," a word Knights is careful to surround in quotation marks. The habit of regarding Shakespeare's persons as real, he argues, "is responsible for most of the vagaries that serve as Shakespeare criticism."²⁴ Knights believes the analyst must keep in mind that Shakespeare's plays are essentially dramatic poems: character is just one element in "the whole dramatic pattern of each play."²⁵

Knights could not have anticipated the special intensity with which the author of S/Z demystifies character, however. At one point in his analysis Barthes examines a passage in which the central character chooses to keep his rendezvous with La Zambinella despite the warning of a stranger who has whispered, "Be on your guard, Frenchman. This is a matter of life and death. Cardinal Cicognara is her protector and doesn't trifle."²⁶ Barthes's commentary is a masterpiece of his special methods. It is entitled "The Story's Interest" and reads in part:

...Sarrasine is not free to reject the Italian's warning; if he were to heed it and refrain from pursuing his adventure, there would be no story. In other words, Sarrasine is forced by the discourse to keep his rendezvous with La Zambinella: the character's freedom is dominated by the discourse's instinct for preservation....This game is an economic one: it is to the story's interest that Sarrasine ignore the stranger's dissuasion; he must at all costs keep the duenna's rendezvous. In other words, he keeps it to ensure the very survival of the anecdote....²⁷

This is, in my opinion, one of the most valuable passages in S/Z. The rule of narrative described here--that the discourse has an "instinct for preservation"--is a rule I tried to keep in mind while examining Don Quixote and the other novels. I will return to it later. Sancho Panza and Don Quixote are successful characters, I will argue, not because they represent types or the extremes of man's understanding of his place in the world, but because they serve so well the discourse's "instinct for preservation." Sancho and Quixote are successful characters because the functions they perform as characters generate narrative.

There is at least one important difference between Propp's and Barthes's methods: Barthes is also intent upon demystifying the cultural significance of the literary work. For Barthes (and other structuralists) the work is a kind of bricolage, a collection of already-written fragments. For Barthes theme is not, as it is ordinarily considered, the connection between story and meaning or form and content; theme in S/Z is just another formal element (to be found in the semic and cultural codes). In what is perhaps the best known passage in all his work Barthes contrasts in a metaphorical comparison the traditional understanding of form and content with his own understanding. "Until now," he writes in an essay entitled "Style And Its Image,"

we have looked at the text as a species of fruit with a kernel (an apricot, for example), the flesh being the form and the pit being the content; it would be better to see it as an onion, a construction of layers (or levels or systems) whose body contains, finally, no heart, no kernel, no secret, no irreducible principle, nothing except the infinity of its own envelopes--which envelop nothing other than the unity of its own surfaces.²⁸

Propp would not have accepted this argument in his Morphology. Propp intended his analysis of the fairy tales to be only the first step to a full understanding of them. He saw his work as the necessary systematic beginning to later more "interesting" speculation (about the cultural value of the tales, about the apparent similarity of tales in many cultures, etc.) He writes at the end of his first chapter,

We shall not refuse to take upon ourselves the rude, analytical, somewhat laborious work [of compiling the morphology of one hundred stories] which is complicated by the fact that it is undertaken from the standpoint of abstract, formal questions. Such crude, "uninteresting" work of this kind is a way to generalize "interesting" constructions.²⁹

Alan Dundes, one of Propp's American advocates, re-emphasizes this point in his introduction to the most recent English translation of the Morphology:

Propp's systematic approach has unfortunately dealt with the structure of the text alone...In this sense, pure formalistic structural analysis is probably every bit as sterile as motif-hunting and word-counting [two methods Propp criticizes] ...Clearly, structural analysis is not an end in itself! Rather it is a beginning, not an end. It is a powerful technique of descriptive ethnography inasmuch as it lays bare the essential form of the folkloristic text. But the form must ultimately be related to the culture or cultures in which it is found.³⁰

Neither Propp nor Dundes could adopt Barthes's onion metaphor. For them the text still has a center. Perhaps their way of looking at the text can be compared to the way we look at an artichoke (if we must choose a species of fruit): the text has layers that must be peeled away, but when the analyst has peeled them away, he finds there not nothing, he finds the heart.

This difference in approaches is a manifestation, I think, of a difference in critical attitudes which Robert Scholes has described as the difference between "high structuralism" and "low structuralism." Barthes is a "high structuralist"; Propp is a "low structuralist." "Barthes,"

Scholes observes,

along with Lévi-Straus, Michel Foucault, Jacques Lacan, and Jacques Derrida is a star performer, an individual who must be approached as a system in himself, and understood for the sake of his own mental processes. Whatever contributions of these men are absorbed by the general culture, their texts will not suffer the same absorption but will remain--like philosophical texts, which they are, and literary texts, which some of them aspire to be--as unique objects to which later thinkers must return in order to grasp the ideas and methods that have developed therein...

There is also a "low structuralism," practiced by men...whose aspirations are more humble...The low structuralist writes to be immediately useful, to be ultimately superseded.³¹

Propp's attitude, the attitude of the "low structuralist," is the attitude I have adopted here. Propp considers himself one worker in a community of workers; the points he makes about the literature he examines are intended to help others in their own investigations of that literature. Barthes believes that in analyzing the text he, in a sense--a very complex sense--creates the meaning of the work. Propp believes that in analyzing the text he can help other workers in the community of workers to go on to further analyze the text. The study that follows will be a success if it helps some reader go on to further analyze the genre of the Quixotic Novel.

NOTES

1. I have consulted Current Literary Terms, ed. A. F. Scott (London: Macmillan, 1965), A Dictionary Of European Literature, ed. Laurie Magnus (London: Routledge, 1926), A Dictionary of Literary, Dramatic, and Cinematic Terms, ed. Sylvan Burnett, Morton Berman, and William Burick (Boston: Little, Brown, & Company, 1971), A Dictionary Of Literary Terms, ed. Harry Shaw (New York: McGraw-Hill, 1972), A Dictionary Of Modern Critical Terms, ed. Roger Fowler (London: Routledge and Kegan Paul, 1973), A Dictionary Of World Literary Terms, ed. Joseph T. Shipley (Boston: The Writer, 1970), Ensayo de un Diccionario de la Literatura, ed. Federico Carolos Sainez de Robles (Madrid: Aguilar, 1954), and The Oxford Companione To English Literature, ed. Sir Paul Harvey (3rd ed.; Oxford: Clarendon, 1960).
2. In an essay entitled "The Structuralist Activity," Critical Essays, trans. Richard Howard (Evanston, Ill.: Northwestern University Press, 1972), Barthes observes, "The structuralist activity involves two typical operations: dissection and articulation. To dissect...is to find in the object certain mobile fragments whose differential situation engenders a certain meaning; the fragment has no meaning in itself, but it is nonetheless such that the slightest variation wrought in its configuration produces a change in the whole..." p. 216.
3. Manuel Durán, Cervantes (New York: Twayne, 1974), p. 174.
4. Roland Barthes, "An Introduction To The Structural Analysis Of Narrative," trans. Lionel Duisit, New Literary History (Winter, 1975: VI, 2), p. 238.
5. Vladimir Propp, Morphology Of The Folktale, trans. Laurence Scott (2nd ed., Austin, Texas: University of Texas Press, 1968), pp. 89-90.
6. Robert Scholes, Structuralism In Literature, New Haven: Yale University Press, 1974), p. 59.
7. Propp, pp. 149-155.
8. William O. Hendricks, "The Structural Study Of Narration: Sample Analyses," Poetics #3 (The Hague: Mouton, 1972), p. 109.

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10. Leo Spitzer, "On The Significance Of Don Quixote," Cervantes: A Collection Of Critical Essays, ed. Lowry Nelson, Jr. (Englewood Cliffs, N. J.: Prentice-Hall, 1967), pp. 82-97.
11. Scholes, cf. note #6.
12. Jonathan Culler, Structuralist Poetics: Structuralism, Linguistics, And The Study Of Literature (Ithaca, N. Y.: Cornell University Press, 1975).
13. Barthes, "An Introduction To The Structural Analysis Of Narrative," p. 238.
14. Propp, pp.23-24
15. Ibid., p. 21.
16. Barthes, S/Z, trans. Richard Miller (New York: Hill And Wang, 1974), p. 21.
17. Barthes, "An Introduction To The Structural Analysis Of Narrative," p. 238.
18. Propp, p. 92.
19. Tzvetan Todorov, The Fantastic: A Structural Approach To A Literary Genre, trans. Richard Howard (Cleveland: The Press of Case Western Reserve University, 1973), p. 163.
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21. Ibid., p. 18.
22. Ibid., pp. 51-52.
23. Propp, p. 89-90.
24. L. C. Knights, "How Many Children Had Lady Macbeth?," Explorations (New York: George W. Stewart, 1947), p. 30.
25. Ibid.
26. Barthes, S/Z, p. 134.
27. Ibid., p. 135
28. Barthes, "Style And Its Image," Literary Style: A Symposium, ed. Seymour Chatman (London: Oxford University Press, 1971) p. 10.

29. Propp, p. 16.
30. Alan Dundes "Introduction" in Propp, pp. xii-xiii.
31. Scholes, pp. 157-158.

CHAPTER TWO
DON QUIXOTE IN LITERARY HISTORY:
A SURVEY OF INTERPRETATIONS

There are, broadly speaking, two kinds of theories explaining Don Quixote's place in literary history. First, there are those theories which develop from the assumption that narrative has evolved, and is evolving, in time and argue that Don Quixote can be placed somewhere on a continuum describing that evolution. Critics who use this diachronic approach usually try to note how Cervantes adopted and improved the narrative techniques of the authors before him or how authors since his time have adopted and improved Cervantes's techniques. Secondly, there are those theories which develop from a more or less ahistorical point of view. Critics who use this synchronic approach usually argue that Don Quixote is a timeless model of narrative success which authors have attempted, and will continue to attempt, to imitate. Critics who believe in the first approach tend to look upon Cervantes's achievement as one step in the development of narrative; critics who believe in the second approach tend to look upon Cervantes's achievement as an unsurpassed ideal or a continuously viable model.

In this chapter I will attempt to detail a few of the examples of each critical approach. In the process I hope to

synthesize a few of the most interesting analyses of Cervantes's place in literary history, to give some idea of the variety of interpretations of Don Quixote, and to note some limitations of some of these interpretations.

The two categories of critical approaches are, I should say again, broad. It goes without saying that many of the critics themselves would object to being placed in one group or the other; of course, none of them is under any obligation to stay within any boundaries I mark. I have placed them in the two groups below according to how I understand the general direction of their arguments. Although Auerbach observes that Don Quixote is a unique narrative whose "noncritical and non-problematic" presentation of everyday reality Auerbach "cannot imagine" ever being attempted by any other author,¹ Auerbach belongs in the first group. The idea that narrative is evolving, that there is a "trend toward reality" in fiction, is an all-important assumption of Auerbach's Mimesis. The case of Salvador de Madariaga is an opposite example. Although he takes the time in Don Quixote: An Introductory Essay In Psychology to note the state of narrative in Spain in the seventeenth century, Madariaga seems to me more interested in² a ahistorical reading of the novel.

Despite the lack of precise boundaries, there are some real differences between the two approaches. The diachronic theories are much the harder to synthesize. It seems that every critic who believes literature is evolving has his own

special history of that evolution to present. There among such readers one finds little agreement about Cervantes's novel. Each critic, looking for ways to justify his own version of literary history, reads Don Quixote differently. In Section One below I have attempted to synopsise three of these histories--Erich Kahler's in The Inward Turn Of Narrative (1957-59, trans. 1973), Michel Foucault's in Madness And Civilization (1961, trans. 1965), and Auerbach's in Mimesis (1946, trans. 1953). The rather detailed description of the three analyses is necessary to point to the differences among them and to show how variable understandings of Don Quixote can be. The three theories make a neat triskelion. Kahler believes Cervantes is the first to write "the modern novel, the first to use "ascending symbolism";³ he argues that Cervantes maps out new narrative territory in Don Quixote. Foucault, by contrast, argues that Cervantes was one of the last practitioners (with Shakespeare) of an old form of narrative, one that was out of date by the seventeenth century; he focuses on Cervantes's use of madness, arguing that the madness in Don Quixote is in "an ultimate state... beyond appeal" and that this use of madness is unlike the modern narrative's in which madness is a "knot" rather than a "dénouement."⁴ Auerbach's position contradicts each of the other two. Where for Kahler Don Quixote represents a new species and for Foucault a dying species, for Auerbach Don Quixote is a fascinating, but ultimately unimportant

freakish species. One outside the main line of evolution:

So universal and multilayered, so noncritical and nonproblematic a gaiety in the portrayal of everyday reality has not been attempted again in European letters.⁵

Section Two below describes some of the theories of the second kind. The critics who adopt ahistorical readings of the novel are in close agreement about the nature of Cervantes's achievement. Although there is some difference about the precise details, most of these readers (including Leo Spitzer, Harry Levin, Salvador de Madariaga, and Lionel Trilling) agree that what Cervantes manages in Don Quixote is a masterful unity of disunities. Most of these readers find that the novel is a structure generated by a duality. One calls this essence the duality of "disenchantment" and "illusion,"⁶ another the duality of "words" and "deeds,"⁷ a third calls it "the duality of heroes,"⁸ but all are describing, I think, the same essence: Don Quixote has at its heart a pairing of opposite forces.

Section Three below is given to an examination of René Girard's Deceit, Desire, And The Novel, a history of the Quixotic Novel, which is an original and provocative blend of the synchronic and diachronic approaches.

1. Three Diachronic Analyses

For Erich Kahler it is how Don Quixote means rather than what it means that makes it a seminal work. In his The Inward Turn Of Narrative Kahler calls Don Quixote "in a sense...the first modern novel"⁹ because, "For the first time the individual case is more than an individual case; the story of an individual bears a superindividual significance."¹⁰ Kahler does not present a close reading of the novel, but he does present an elaborate and interesting analysis of the history of narrative and show where Don Quixote exists as a turning point and seminal influence.

Kahler traces in this study of Western narrative from the Iliad to Tristram Shandy a development of human consciousness. He argues that, despite the assumptions of some thinkers, reality has not always been the same for all men throughout history. Man's understanding of reality is constantly evolving because of the constantly changing relationship between his mind, his inner space, and "objective reality," his outer space. Art does not just allow us to see reality differently (as Auerbach argues in Mimesis) it changes reality. Throughout history, art, like other interactions between mind and reality, has enabled man to stretch his consciousness so that there has been a "progressive internalization of events" as man's understanding of inner and outer spaces grow.¹¹ In the twentieth century the enormous expansion of physics and psychology are examples

of this evolution. But in The Inward Turn Of Narrative Kahler is interested in demonstrating how narrative has been both a tool and a measure of the evolution of consciousness.

Kahler finds three dimensions in "the early stages in the process of the internalization of narrative."¹² The first dimension is first explored in tales like Boccaccio's falcon novella (V, 9) in the Decameron (1348-1353) and Madame de La Fayette's La Princesse de Clèves (1678), stories where

psychological expressiveness is no longer a matter of scattered passages; it pervades and embraces the entire narrative. Narration has become a psychological process.¹³

These stories are infused with psychology; in fact, Kahler argues in a brief commentary on the falcon novella, the story takes place almost entirely on a psychological plane: the story develops and turns as the reader understands the mental state of the impoverished knight who sacrifices his last possession to the woman he loves and the feelings of the woman who loses her son and takes the knight as a lover. (It goes without saying that much of Don Quixote takes place entirely on a psychological plane: "The Cave Of Montesinos" would be the best example.)

The second dimension early narrative maps, according to Kahler's analysis, is "the breadth of the realm of the senses." Kahler finds this dimension first appears in the narratives of Rabelais, Grimmelshausen, and Cervantes. In

their satires "the independent world of nature was established outside the human sphere"¹⁴ and "Nature and society can no longer be taken for granted and regarded as a unity."¹⁵ In these stories the milieu becomes an entity and so becomes separated from man and consciousness. Man becomes conscious--these narratives make him conscious--of the world out there; a distance and dichotomy is created: the narrative recognizes the existence of inner and outer spaces. In Don Quixote this dichotomy is an obvious one; indeed, the dichotomy between Don Quixote's inner space (the chivalric ideals and his madness) and his outer space (the real world) is, of course, the crux of the narrative. Kahler observes:

The open confrontation between a romantic imagination and Sancho Panza's rough-and-ready reality of peasant girls, barbers, and muleteers produces that double irony which is directed as much against the deluded knight as against the victorious but inferior world of reality.¹⁶

The irony in the novel is an effect of the separation of Don Quixote's inner space from his objective reality. In separating these two Cervantes is able to satirize them both: he can mock the knight for seeing mills where there are only giants and he can mock the knight's world for failing to live up to his expectations of it (as in the many scenes where Sancho, for example, demonstrates that his appetites are more important than his ideals).

But it is in the exploration and exploitation of the third dimension of early narrative that Cervantes leads the way with his masterpiece. Don Quixote participates with other narratives in the mapping of "the depth of the psyche"

and "the breadth of the realm of the senses"; it is, however, the first to explore the third dimension--"the height of ascending symbolism."

This last part of Kahler's theory of the development of "early narrative" is the most intriguing for the student of Cervantine criticism. Kahler believes Don Quixote began an entirely new kind of story, narrative he calls "complete fiction." "Complete fiction" is characterized by the use of modern symbolism, "ascending symbolism."

This new symbolism is ascending because it proceeds not from a supernatural, extrahuman, or prehuman event whose reality is assumed, but because it rises from below, from a purely human natural world, from individual characters and events which from the outset possess only a representative, not an actual, reality. In fact, they have been invented by the artist for the sake of this representation.¹⁷

According to Kahler, Cervantes's narrative world is qualitatively different from Dante's, for example, because it (Don Quixote) is a total creation of a man's imagination. The character of Don Quixote, the mad knight, is an essence from which meaning develops upward, not an image for which meaning has been assigned from above. Dante uses symbolism in The Divine Comedy but it is the old symbolism (older than allegory even), "descending symbolism." In "descending symbolism" the meaning of a symbol comes from a reality greater than the symbol. In Don Quixote and other works of "complete fiction" the symbol and its meaning are more intricately intertwined. Kahler observes:

Dante's symbolic procedure consists in fitting the variegated patterns of life on this earth to the preexistent divine cosmos, in deriving earthly life from and leading it to that cosmos. But to the creators of the new symbolism there is no preexistence, no premise outside the work itself. The whole symbolic structure is built up by the artist; it is entirely integrated. This complete integration is internalization. (emphasis in original)¹⁸

So, if Kahler is right, Cervantes widens the boundaries, and so loosens the bonds, of narrative with his masterpiece. The internalization is, like all the internalizations Kahler describes, an expansion and also a liberation. In older narratives, those using "descending symbolism," the storyteller positions himself between God and man: the storyteller acts as priest, explaining God's ways to man, putting revealed truths into other words. The story-teller before Cervantes stands at a mid-point in the transmission of meaning. Cervantes stands himself at an end-point in the transmission. Cervantes is the first to make himself a god in his narrative world. After Cervantes the story-teller, using "ascending symbolism," is no longer a message-carrier; he is instead the message-maker.

Kahler's description of exactly how the text of Don Quixote is its own reality is very sketchy. He makes a few brief remarks about the conflict between Quixote's chivalric code and Sancho's bourgeois appetites, but he passes quickly on. In a study as ambitious and large as The Inward Turn Of Narrative, of course, there is little time for close textual explication. Nevertheless, Kahler touches upon issues that

the student of Cervantine criticism is interested in pursuing. Although Kahler implies that he is content to discuss only how Don Quixote means and not what it means, his analysis leads in only one direction: Kahler would have to take the side of the "soft" readers of the novel, which is to say he would have to argue that there is value in Don Quixote's madness.

The crux of the "hard" reader's interpretation is that Cervantes is only a message-carrier. The hard reader argues, as Auerbach does, for example, that Don Quixote is only a Fool, the Fool of old tales, a character who needs only to regain the usual sense of the world, regain knowledge of revealed truth, and everything will be all right. The message of Don Quixote is to the hard reader a message found in much older narratives: All is right with God's world; Man must only find his place in it. For the hard reader, Quixote's deathbed conversion is an essential movement, the movement of the sinner back to revealed truths, the movement of the madman back to the Christian way.

To maintain his theory of "internalization" and the liberation of narrative, Kahler would have to dismiss, in the style of "soft" readers, the deathbed conversion. If Cervantes uses a truly different symbolism than Dante does, then his meaning must be truly different from Dante's meaning. The hard reader's interpretation is that Cervantes does (in his final chapter) exactly what Kahler says Dante does in The

Divine Comedy: he leads earthly life to fit into "the pre-existent divine cosmos." If he did take the time to make a close textual explication Kahler would have to argue, like Unamuno, that the deathbed conversion is undercut by the rest of the book, that the "immortal Quixote" is the mad Quixote; or, like Ortega y Gasset, Dostoyevsky, and Auden, Kahler would have to argue that Cervantes presents in Don Quixote a modern Christianity and that the deathbed conversion is ironically undercut by the fact that the ideals Quixote has espoused in his madness and rejected in the end is true Christianity. (Ortega y Gasset calls Quixote a "Gothic Christ."¹⁹) If Cervantes is truly an end-point in the transmission of meaning, then his meaning must be a new meaning. His meaning cannot be the meanings of any of the narratives that came before the Quixote, because otherwise Don Quixote is not "superindividualized" but only one more Everyman.

This matter of "superindividualization" in the Quixote is another aspect of Kahler's theory that the student of Cervantine criticism would be interested in seeing Kahler pursue. Unfortunately, Kahler has his critical sights set higher. One can easily agree that the figure of Don Quixote is a special individual especially in comparison with the figures in the narratives most closely related to Don Quixote, the heroes of the chivalric romances. It is not so easy to explain exactly how this effect is achieved.

Michael Foucault's theories about Don Quixote make an interesting contrast to Erich Kahler's. Where Kahler believes Don Quixote is the first example of a new kind of narrative, a kind of narrative that we can call "modern," Foucault believes Don Quixote is one of the last examples of a kind of narrative that died near the turn of the seventeenth century. He argues that Cervantes's masterpiece is a moral satire about madness which reflects an understanding of madness that has disappeared in Western culture.

In Madness And Civilization: A History Of Insanity In The Age Of Reason Foucault presents an analysis of Western society's understanding of madness and traces that understanding through its changes in the sixteenth, seventeenth, and eighteenth centuries. His history is very useful to the student of Cervantine criticism. Foucault's reading of Don Quixote's madness, in particular, is intriguing.²⁰

According to Foucault, Cervantes with Don Quixote presents a medieval man's moral understanding of insanity. In works like Don Quixote,

Madness deals not so much with the truth and the world, as with man and whatever truth about himself he is able to perceive. It thus gives access to a completely moral universe. Evil is not punishment in the end of time, but only fault and flaw.²¹

Foucault describes four kinds of madness that appear in the narratives up to Cervantes's time. In each case madness is a fault, a moral illness, which cripples the victim. There is, first of all, madness by romantic fixation. "Its features," Foucault explains, "have been fixed once and for all by Cervantes."

In appearance [in Don Quixote and close imitations] there is nothing but the simple-minded critique of novels of fantasy, but just under the surface lies an enormous anxiety concerning the relationships, in a work of art, between the real and the imaginary...²²

The second kind of madness is madness of vain presumption in which "it is not with a literary model that the madman identifies; it is with himself...Poor, he is rich; ugly, he admires himself; with chains on his feet, he takes himself for God."²³ Foucault names other literary characters as exemplars of this form of madness (e.g., Chateaufort in Le Pédant joue, M. de Richesource in Sir Politik), but, of course, Don Quixote exhibits this second form of madness also. He is especially vain in the early part of the book--in the incident (I,4) when he "saves" Andrés from the whipping, for example.

Foucault's third kind of madness, the madness of just punishment, does not appear in Don Quixote. This is the madness of the victim driven insane by the horror of the crimes he has committed and by the pangs of his conscience. Lady Macbeth's madness, according to Foucault, is the madness of just punishment. Shakespeare also has a moral understanding of madness.

The fourth kind of madness is, it seems to me, present off-stage in Don Quixote. This is the madness of desperate passion: "Love disappointed in its excess, and especially love deceived by the fatality of death, has no other re-²⁴course but madness." Ophelia's last song and King Lear's final madness are Foucault's examples, but this desperate passion exists as a possibility standing just outside Cervantes's narrative. This is the madness of Beltenebros which Don Quixote tries to imitate in the mountains of the Sierra Morena. Of course, it is used as a joke here because Don Quixote has not lost his lover, as Sancho points out in one of the best exchanges in the novel:

"It strikes me," said Sancho, "that those knights had...some cause for such foolish penances, but what reason has your Grace for going mad,...what signs have you found that lead you to think the lady Dulcinea has been up to some foolishness...?"

"That," said Don Quixote, "is the point of the thing; that is the beautiful part of it. What thanks does a knight-errant deserve for going mad when he has good cause? The thing is to go out of my head without any occasion for it, letting my lady see, if I do this for her in the dry, what I would do in the wet." (p. 199)²⁵

But the humorous point is made at the expense of Don Quixote's twisted logic, not at the expense of desperate passion. It is Don Quixote who is undercut by the joke, not the madness of the desperate, disappointed lover. That might be too fine a distinction to make an argument from, but the madness of desperate passion is a presence even closer to the narrative line in other places. In several interpolated tales the

madness of desperate passion exists as a route narrowly avoided. An example in Part I is "The Curious Impertinent" where Anselmo comes close to going insane when he discovers that his wife, Camila, and best friend, Lothario, have left him (I, 35). An example in Part II is the "Roque Guinart" episode where Claudia Jeronima also comes close to losing her mind when she discovers she has fatally wounded her innocent lover (II, 60). Both characters avoid insanity, but must give up their lives as the price. Anselmo dies as he pens a note of apology and forgiveness to Camila (in what is obviously and, perhaps, intentionally a foreshadowing of Quixote's deathbed drawing up of his will). Claudia dies figuratively as she takes herself to a nunnery to live out her days in isolation. In both cases the madness of desperate passion is no joking matter; it is a real possibility. Both narratives end as the characters veer away from that madness to literal (Anselmo's) death and figurative (Claudia's) death.

These two narratives fit neatly into Foucault's theory (although he does not mention them). Foucault believes Cervantes and Shakespeare are characterized by the way they position madness in their stories. Madness always comes at the end of the line of Cervantes's and Shakespeare's tales, according to Foucault:

In Shakespeare or Cervantes, madness still occupies an extreme place, in that it is beyond appeal. Nothing ever restores it to truth or to reason. It leads only to laceration and thence to death... [Madness] is already the plenitude of death; a madness that has no need of a physician but only of divine mercy.²⁶

Madness to these two writers, because they understand it in the way of the sixteenth century, is an ultimate state. It exists on-stage (in Lear) and off-stage (in "The Curious Impertinent") as an end: "With such overwhelming news as this [that Lothario and Camila had run off together] Anselmo was not only near to losing his mind but to ending his life as well," (p. 321). In later narratives the change of the understanding of madness is represented by a displacement of its place in the narrative line. After the sixteenth century, Foucault notes,

madness leaves these ultimate regions where Cervantes and Shakespeare had situated it; and in the literature of the early seventeenth century it occupies, by preference, a median place; it thus constitutes the knot more than the dénouement, the peripity [sic] rather than the final release.²⁷

Madness moves forward in later narratives, Foucault maintains; it becomes a stage for the hero to pass through, a problem for the hero to solve.

But, there is an obvious question: What about the main line of narrative of Don Quixote? Isn't Don Quixote's madness a knot rather than a dénouement? Isn't his insanity, in fact, the problem that creates the whole story?

To keep his argument Foucault must adopt a peculiar "hard" reading of the novel. He focuses, as critical readers must, on the final chapter. It seems, of course, that this chapter would disprove Foucault's thesis as regards Cervantes, because it is in this chapter that Quixote passes through madness; in his will-writing he demonstrates that reason can be restored, that his madness is not "beyond recall." "Certainly," Foucault concedes,

Don Quixote's death occurs in a peaceful landscape, which at the last moment has rejoined reason and truth. Suddenly the Knight's madness has grown conscious of itself, and in his own eyes trickles out in nonsense. But is this sudden wisdom of his folly anything but "a new madness that had just come into his head" [a rendering, apparently, of the line in the final chapter describing the reactions of the barber, the curate, and Sanson Carrasco to the news that Quixote had declared his sanity: "Cuando esto le oyeron decir los tres, creyeron, sin duda, que alguna nueva locura le habia tomado."]? The equivocation is endlessly reversible and cannot be resolved, ultimately, except by death itself...But death itself does not bring peace; madness will still triumph--a truth mockingly eternal, beyond the end of a life which yet had been delivered from madness by this very end. Ironically, Don Quixote's insane life pursues and immortalizes him only by his insanity; madness is still the imperishable life of death.²⁸

What Foucault does in this passage is adopt the argument of the softest of readers, Unamuno, to argue for a hard reading of the novel. It is Unamuno who first points out that the immortal Don Quixote is the mad Don Quixote, that the conversion in the last chapter is undercut by the strength of the earlier madness. Unamuno uses this argument to prove

that Quixote's madness is exemplary, to show that there is salvation in making oneself ridiculous. Foucault uses the same argument to prove that there can be no salvation from madness, at least from the madness in Cervantes's narrative. The endlessly reversible equivocation between madness and sanity insures that there can be no escape from madness because there is no way to declare sanity.

Foucault must be considered a hard reader, because he does not believe there is value in Don Quixote's madness. Don Quixote does not learn from his insanity or develop because of it or represent an ideal to be imitated; but Foucault's hard reading is interestingly unlike the interpretation of the most classic of hard readers, Erich Auerbach.

Auerbach, too, compares Cervantes and Shakespeare, but he draws a line of distinction between them where Foucault ties them together. Auerbach believes the ways the two authors handle the theme of madness points to an essential difference in their works. He is in agreement with Foucault that the madness in Shakespeare (in the case of Hamlet, at least,) is beyond appeal but he argues that this understanding of madness is the modern one and he sees the madness of Don Quixote as an entirely different malady from that which plagues the Dane.

In his well-known reading of Don Quixote in Mimesis: The Representation of Reality in Western Literature Auerbach makes a point of contrasting Hamlet and Don Quixote. He is

interested in charting "the trend toward reality" in Western literature. Hamlet, he argues, is an important part of that trend; Don Quixote is not. Cervantes's novel is too much like the other Spanish literature of the siglo de oro in that it participates more in the "fanciful, adventurous, and theatrical" than in "the history of the literary conquest of modern reality." In that history, Auerbach writes, "the literature of Spain's great century is not particularly important--much less so than Shakespeare and even Dante, Rabelais, or Montaigne."²⁹ One of Auerbach's postulates is that the "trend toward reality" has much to do with tragic complications and "the problematical." Although he thinks Cervantes of the Spanish authors of the golden century "is certainly the one whose characters come nearest to being problematic,"³⁰ the problems of these characters are not serious or tragic enough to make Cervantes as important an author as Shakespeare (in "the history of the literary conquest of reality").

"If we want to understand the difference [between Cervantes and Shakespeare], " he writes,

we need only compare the bewildered, easily interpreted, and ultimately curable madness of Don Quixote with Hamlet's fundamental and many-faceted insanity which can never be cured in this world.³¹

Auerbach's argument is thus a reversal of Foucault's interpretation. According to Auerbach it is the madness that is used as a dénouement that is modern; when madness is only a

knot it may not be sufficiently problematic. This is the case of Don Quixote: his insanity is too simple. Quixote's madness is used only to generate an entertaining tale; it is not the madness that generates a disturbing vision of the world.

"Don Quixote alone is wrong," Auerbach observes,

as long as he is mad. He alone is wrong in a well-ordered world in which everybody else has his right place. He himself comes to see this in the end when, dying, he finds his way back to the order of the world. But is it true that the world is well-ordered? The question is never asked.³²

Auerbach focuses his attention upon "The Enchanted Dulcinea" episode (II, 10). He points out that the situation which Cervantes invents could have been a tragic one: there is illusion and disillusionment in the scene; there is the one confrontation between Quixote and the woman he believes is his Dulcinea; there is the manipulation of the master by the servant; there is the denigration of Quixote's ideals (as he is tricked into kneeling in dedication to an ugly peasant girl); and, lastly, there is the psychological disturbance Don Quixote suffers. But, Auerbach points out, Cervantes does not play the scene for its tragedy; instead Cervantes makes it into a farce. The episode characterizes the book for Auerbach (and the fact that the novel does not participate in the history of the trend toward reality) because Cervantes does not use the opportunity to investigate any riddles or pose any problems. Instead Cervantes gives his hero a way to avoid confronting his madness:

It might be supposed [that the incident of the "Enchanted Dulcinea"] would bring on a terrible crisis...It could produce a shock which in turn could bring on much deeper insanity. But there is also the possibility that the shock might bring about a cure, instantaneous liberation from the idee fixe. Neither of these things happens. Don Quixote surmounts the shock. In his idee fixe itself he finds a solution which prevents him both from falling into despair and from recovering his sanity: Dulcinea is enchanted. This solution appears each time the exterior situation establishes itself as in insuperable contrast to the illusion...The happy ending is a foregone conclusion. Thus both tragedy and cure are circumvented.³³
(my emphasis)

Don Quixote's ever-available escape clause, that an enchanter has interfered in any situation in which Quixote's understanding of the world does not match reality keeps the novel from becoming a representation of the tragic complications of life. It enables Cervantes to make a mockery of Quixote whenever his mad hero makes a serious confrontation with reality. Cervantes thus avoids the problematic.

Auerbach does not believe Cervantes was ever interested in the metaphysical arguments and riddles other readers have found in the novel:

For centuries--and especially since the romantics--many things have been read into [Don Quixote] which Cervantes hardly foreboded, let alone intended. Such transforming and transcendent interpretations are often fertile. A book like Don Quixote dissociates itself from its author's intention and leads a life of its own.³⁴

Nevertheless, Auerbach believes the novel was intended to be a honest entertainment and not a metaphysical (or political) investigation. "I take it as merry play on many levels," he

writes. "This means that no matter how painstakingly I have tried to do as little interpreting as possible, I yet cannot help feeling that my thoughts about the book often go far beyond Cervantes's aesthetic intention."³⁵

It is the improvisational quality of the novel that leads Auerbach to believe he reads more into it than Cervantes put there. "Whatever the intention may have been," he argues, "...it most certainly did not consciously and from the beginning propose to create a relationship like that between Don Quixote and Sancho Panza as we see it after having read the novel."³⁶ The relationship between master and servant developed naturally, organically, as Cervantes improvised his tale. He had no plan, Auerbach believes; he depended for his success on his ability to tell stories:

the two figures were first a single vision, and what finally developed from them-- singly and together--arose gradually, as the result of hundreds of individual ideas, as the result of hundreds of situations in which Cervantes puts them and to which they react on the spur of the moment, as the result of the inexhaustible, ever-fresh power of the poetic imagination.³⁷

Evidence of the improvisational nature of the text can be found in the narrative errors:

Now and again there are actual incongruities and contradictions, not only in matters of fact (which have often been noted [the theft of the ass being the best-known]) but also in psychology: developments which do not fit into the total picture of the two heroes-- which indicates how much Cervantes allowed himself to be guided by the momentary situation...³⁸

Auerbach ends his chapter on Don Quixote with a discussion of the question his hard reading naturally raises: What did Cervantes contribute to literary history? If it is not the thematic content or metaphysical dimension of Don Quixote, what is it that Cervantes gave to the authors who followed him and read his masterpiece?

Auerbach seems intent on letting some of the air out of what he considers Cervantes's romantically-inflated reputation, (perhaps in a response to Unamuno) but he does not mean to deflate it entirely. Auerbach believes Cervantes did make his mark in literary history--through his capacity for rendering "everyday reality." The talent was so great, Auerbach writes, "that almost everything realistic written before him appears limited, conventional, or propagandistic by comparison."³⁹ Auerbach admires Cervantes most of all because he is a superb story-teller. He believes Cervantes was attracted to the theme of a man deluded by books not for its thematic possibilities (it is Cervantes's readers who have realized these) but for the opportunities the theme created for narrative possibilities, "the mixture of the fanciful and everyday elements in the subject, its malleability, elasticity, adaptability."⁴⁰ Cervantes recognized the chances the theme would give him to improvise tales in a way congenial with his nature. And what is that nature? Cervantes's nature is his quintessence and it is a quintessence very hard to describe. The "peculiarly Cervantean" is, Auerbach decides,

not a philosophy; it is no didactic purpose; it is not even a being stirred by the uncertainty of human existence or by the power of destiny, as in the case of Montaigne and Shakespeare. It is an attitude--an attitude toward the world, and hence also toward the subject matter of his art--in which bravery and equanimity play a major part. Together with the delight he takes in the multifariousness of his sensory play there is in him a certain Southern reticence and pride. This prevents him from taking the play very seriously. He looks at it; he shapes it; he finds it diverting; it is also intended to afford the reader refined intellectual diversion.⁴¹

But Cervantes does not (can not) pass on his nature to literary history. Cervantes is, in Auerbach's analysis, not a seminal force; he is a unique writer, but one whose essence is created by his particular age and peculiar talents and who cannot be imitated. Auerbach observes, "So universal and multilayered, so noncritical and nonproblematic a gaiety in the portrayal of everyday reality has not been attempted again in European letters. I cannot imagine where and when it might have been attempted."⁴²

There are, of course, many other diachronic analyses of fiction which place Don Quixote on a continuum describing the evolution of narrative. Among the best known of general theories are The Theory Of The Novel by George Lukacs and The Nature Of Narrative by Robert Scholes and Robert Kellogg. And there are, too, many specific investigations of Don Quixote as a source and influence; a good recent example of the influence of Cervantes's on English fiction may be

cited: Susan Staves's "Don Quixote In Eighteenth-Century England" (Comparative Literature 24, Summer, 1972, pp. 193-215).

As my intention is to examine the broad opposition between diachronic and synchronic emphases, however, I shall now turn to a consideration of certain synchronic theories.

2. Synchronic Analyses

Generally, the critics who adopt the second kind of understanding of Don Quixote's place in literary history-- that Don Quixote is an archetypal model or unsurpassed ideal--agree that what Cervantes managed in his novel was a unity of disunities. The various theorists describe the disunities in different ways, but all agree that the linking of opposite, volatile forces is a masterful achievement. Cervantes's ability to hold the forces together, many argue, is the distinctive feature of his genius.

Although there are elements of historicism in his reading, Leo Spitzer is a synchronic theorist in the sense that he is interested in describing how the novel is a model of narrative. In an essay entitled "On The Significance of Don Quixote" he argues that Cervantes is unique in literary history because he manages "to hold before our eyes a cosmos split in two separate halves, disenchantment and illusion, which, as by a miracle, do not fall apart." Spitzer calls the theme of the man deluded by his reading "the problem of the book" and points out that Cervantes was the first writer to understand the dimensions of the problem brought about by the printing press, a problem, Spitzer believes, of perception. Before the printing press cultural values were communicated through the ear, "the musical, religious, communal sense"; after the printing press made reading so important cultural values came through the eye, "the rational,

analytic, and individualistic sense" and so "there was born the peril of wrong application of literature in life by individuals reading alone, severed from society."⁴³

Cervantes's original intention, then, was a critical one: he wanted to expose "the problem of the book," to describe how a reading man could go wrong reading obsolete books. Cervantes wanted his novel to be a counter-novel. However, his sensibility would not let him be satisfied with such a one-sided presentation. "Cervantes anticipated," Spitzer believes, "the feeling of disharmony and incompleteness which would be produced in the reader by an anti-novel in pure form."⁴⁴ Cervantes's sensibility led him to establish an almost-impossible and never-duplicated balance, "an equilibration of the critical sense by the beauty of the fabulous."⁴⁵ The interpolated tales are the most obvious examples of Cervantes's use of his non-critical, illusion-making sense. So, on the one hand, with his critical sense, Cervantes is subverting the romances and, on the other hand, with his fabulist sense, he is re-issuing the romances with his tales of Dorothea, the shepherdess Marcela, and all the rest.

The whole of the Cervantine novel falls then into two parts: the one teaches criticism before imaginative beauty; the other re-establishes imaginative beauty in the face of all possible scepticism.⁴⁶

Many authors have followed Cervantes's use of his critical understanding of the world (Spitzer names Balzac, Maupassant,

Thackeray, Tolstoy, Faulkner, Mann, Gide, Conrad, Proust, Joyce, Virginia Woolf, and Pirandello) in adopting a narrative method that holds hard, cold reality up against the illusion of the fabulous. Not one, however, has managed to achieve the balance Cervantes achieved. Only Cervantes simultaneously presents both visions of the world. The unity is a unity of narrative voice; disenchantment and illusion are linked in the narrator of Don Quixote:

the novel is a monument to the narrator qua narrator, qua artist. For, although the protagonists...seem to be Quixote, with his continual misrepresentation of reality, and Sancho, with his sceptical half-endorsement of Quixotism, they are overshadowed by Cervantes,...who combines a critical and illusionistic act according to his free will.⁴⁷

In his essay "The Example of Cervantes" Harry Levin adopts an approach to the problem of describing Cervantes's influence on literature which is very close to Leo Spitzer's. He observes, as Spitzer does, that Don Quixote "in terms of its intention and impact constituted an overt act of criticism" ⁴⁸ but that Cervantes recognized the limitations of that criticism. For Levin, however, the dichotomy that Cervantes recognized was that between artifice and reality (rather than Spitzer's disenchantment and illusion). Levin's Cervantes sees that criticism of bookishness was necessary, that there is a fundamental difference between words and deeds ("palabras and hechos," as Levin puts it), but sees also that there is no other way to make a criticism of books than with a book. Levin's Cervantes faces a paradox because

...literary artifice is the only means the writer has at his disposal. How else can he convey his impression of life? Only by discrediting those means, by repudiating that air of bookishness in which any book is inevitably wrapped.⁴⁹

Where Spitzer points to the interpolated tales as the key to the understanding of Cervantes's sensibility (for it is there that Cervantes admits the illusion of romance into the text), Levin points to the devices of the self-conscious narrator as the key (for it is there that Cervantes subverts the reality of Don Quixote's story by noting artifice).

E. C. Riley is another reader who notes that Cervantes was simultaneously critic and creator. In Cervantes's Theory Of The Novel Riley attempts to reconstruct the Spaniard's aesthetic theory, using as the most important evidence the various statements about literature and life mouthed by various characters throughout Don Quixote. He concludes that Cervantes felt "a deep-rooted ambivalence which is fundamental to his writing."⁵⁰ Cervantes found in the ironic mode a vehicle to express his fundamental ambivalence. "Cervantes discovered in irony the novelist's most important tool," Riley argues,

the multiplicity of possible perspectives makes a fresh and complex view of things possible, a view more nearly round. It does not pinpoint the truth of the matter, but circumscribes the operative area. Irony allows Cervantes to criticize while he writes, and to present different points of view with considerable impartiality.⁵¹

Lowry Nelson has also pointed out that irony is the glue that enables Cervantes to hold his unity of disunities together.

Nelson lists Cervantes with Shakespeare, Chaucer, Chekhov, Kafka, and Svevo in the "select company" of "universal ironists." These are writers who "contemplate the world with a kind of gentle resignation and compassion in full knowledge of both the grandeurs and miseries of human life." They are different from the "tendentious ironists" like Flaubert, Ibsen, Hardy, and Mann who "view the world from a programmatic stance connoting accusation, bitter protest, and meliorist reformation of human ills."⁵²

Nelson points out that the narrative formula that Cervantes discovers "cannot be stated without the great risk of oversimplifying or overcomplicating it." Like many other critics, Nelson believes the formula can be described, however, as a complex of dualities: "...Cervantes managed to create the central formula of the modern realistic novel in terms of a vast range of style accommodating illusion and reality, aspiration and actuality, the dogmatic and the problematic."⁵³

Actually, the citation of dualities is one of the most common features of Cervantine criticism. Spitzer's "disenchantment and illusion" and Levin's "artifice and reality" are only two pairings in what is a long list of pairings critics have found to lie at the heart of Cervantes's narrative formula. Nelson adds the three above. Lionel Trilling believes, "There are two modes of thought in Don Quixote, two different and opposed notions of reality."⁵⁴ He argues that Cervantes "changed horses in mid-stream" in writing Don Quixote: at the

start he was trying to side with the concrete view of reality, that "the powerful immediacy of hunger, cold, and pain" outweigh in importance of "the past, the future, and all ideas"; after a time, though, Cervantes switched sides, "to show that the world of tangible reality is not the real reality after all. The real reality is rather the wildly conceiving, wildly fantasizing mind of the Don."⁵⁵ Robert M. Adams believes the fundamental duality generating the narrative of Don Quixote is the duality of "imagination" and "appetite." The plot of the novel is an oscillation:

Don Quixote makes his forays into the world of appetite and is brutally or comically rebuffed; the world of appetite makes counter-forays into Don Quixote's imagination and meets with a resistance just as stout and determined.⁵⁶

Frederich Karl believes the duality at the heart of Don Quixote is the duality at the heart of all novels; all novels, he argues, depend for their existence on the dualism in the adversary relationship between subversive ideals and bourgeois values. Because Don Quixote is the first to present this adversary relationship, it is the archetypal novel.

For whatever other interpretations we place upon the Don, he is playing with the substantive existence of the novel...What the Don suggests is the dualism of the novel: imagination and chivalric knight-errantry reflect a radical distaste for an existing society confronted by the dull, plodding routine character of that inescapable society.⁵⁷

Helmut Hatzfield finds an entirely different kind of duality in Don Quixote. He argues that the unity of disunities in Cervantes's masterpiece is a triumph of prose style: Cervantes

holds together his dichotomous understanding and presentation of the world by his narrative style which allows him to "posit...poetical concepts before the eye on the epic ground of plastic and picturesque observation." Hatzfield observes:

Commentators have appreciated the fundamental contrast between Don Quixote and Sancho, between the ideal and the real, between heaven and earth, between the spirit and the flesh, between poetry and prose. But this antithesis also represents a conciliation, the stylistical nuances of which are very interesting. The antithesis becomes mellow when Cervantes the author and observer speaks....

A reflection of Reality and Ideality united harmoniously in the author's spirit is found in the union of dissimilar concepts, that is, in the linking of the concrete and the abstract in one phrase. For instance: "But daylight and the hope of succeeding in their object failed them;" or "Maidens and modesty wandered at will alone and unattended."⁵⁸

Of course, the most oft-cited pairing in Cervantine criticism is the pairing of the two heroes, Don Quixote and Sancho Panza. No matter what label the critics in their different analyses attach to the different dualities, most observe that the mad master exemplifies one element in the duality and the earthly servant the other. "In crudest terms," Nelson observes, Cervantes's narrative formula "may be expressed as the pairing of a tall, thin idealist with a short, fat realist and setting them off on a series of hazards."⁵⁹ Adams writes, "No observation about Don Quixote is less startling than that the novel is built around an unresolved tension between Don Quixote's world and Sancho Panza's." Gerald Brenan, one of Cervantes's closest readers, notes that there is some uncertainty in the narrative in the chapters before Sancho Panza is created:

The knight alone was not a sufficiently strong thread on which to string the incidents. It took a few chapters for [Cervantes] to discover this; then, bringing his hero home, he sent him out again with Sancho Panza. After that there were no more hesitations: master and man by their wonderful powers of conversation are sufficient to sustain the interest. It is the duality of heroes that turns what could otherwise be a short entertaining story into a long and very great book.⁶¹

One other characteristic marks the second group of critics: they believe Don Quixote is the supreme model for prose fiction. There is among this second group some disagreement about the theme of Don Quixote, but there is little disagreement about the novel's place in literary history. Most of these critics would subscribe to the analysis of Lionel Trilling who wrote on the 400th anniversary of Cervantes's birth:

In any genre it may happen that the first great example contains the whole potentiality of the genre. It has been said that all philosophy is a footnote to Plato. It can be said that all prose fiction is a variation on the theme of Don Quixote.⁶²

3. René Girard's Analysis

René Girard's reading of Don Quixote's place in literary history is an interesting combination of diachronic and synchronic approaches. Like Trilling, Girard believes Cervantes's novel is the supreme model of prose fiction--"All the ideas of the Western novel are present in germ in Don Quixote,"⁶³ he says at one point--but he also believes that the model is transformed gradually as it appears in later novels. The model undergoes an evolution.

The full title of Girard's marvelous history of the Quixotic Novel is Deceit, Desire, And The Novel: Self And Other In Literary Structure. Like the synchronic critics just considered, Girard finds a duality in Cervantes's narrative, but unlike them he places this duality (of self and other) in a precise scheme and he carefully outlines how the scheme can be found in the novels of Cervantes's imitators. He argues that the essence of Cervantes's novel is the same essence as that structuring the novels of Flaubert, Stendhal, Proust, and Dostoyevsky and can be represented by a symbolic figure--the triangle. According to Girard, Don Quixote shares with Emma Bovary, Julien Sorel, Marcel, Prince Myshkin, and many other heroes of the "great novels" a particular psychological malady: all these heroes are unable to act spontaneously; all have given up their freedom of choice and action to live by imitation of mediators. Each of these heroes is possessed by mediated desire. Girard explains the first such case of the malady:

Don Quixote has surrendered to Amadis the individual's fundamental prerogative: he no longer chooses the objects of his own desire-- Amadis must choose for him. The disciple pursues objects which are determined for him...by the model of all chivalry. We shall call this model the mediator of desire...

In most works of fiction, the characters have desires which are simpler than Don Quixote's. There is no mediator; there is only subject and object... desire is always spontaneous. It can always be portrayed by a simple straight line which joins subject and object...

[In Don Quixote] the mediator is...above the line, radiating toward both the subject and object. The spatial metaphor which expresses this triple relationship is obviously the triangle. The object changes with every adventure but the triangle remains. The barber's basin or Master Peter's puppets replace the windmills; but Amadis is always present.⁶⁴

Because he is so dedicated to imitating his mediator, to living by chivalric ideals, Don Quixote is, to a certain extent, cut off from life, at least the direct experience of life; he lives instead at one remove from reality. In every action in which he participates he must move through his mediator rather than directly; he must consider how Amadis would act and imitate that action, rather than acting immediately and spontaneously. Although Girard does not bother to detail it, Don Quixote's relationship with the Dulcinea is the perfect example of mediated desire. The truth is the knight hardly knows the girl to whom he pledges eternal dedication. In some passages in the novel it is not even clear whether or not he has ever seen her. The dedication he pledges is, of course, a dedication to an ideal lady not the "real" Dulcinea, the ugly peasant girl, Aldonza Lorenzo. Don Quixote

feels no spontaneous desire for the girl; all his desire is mediated through Amadis: he is dedicated to the Dulcinea because Amadis and all chivalric knights are dedicated to ladies.

Sancho Panza also lives by imitation, according to Girard. Sancho's mediator is Don Quixote. "Some of Sancho's desires are not imitated," Girard explains,

for example, those aroused by the sight of a piece of cheese or a goatskin of wine. But Sancho has other ambitions besides filling his stomach. Ever since he has been with Don Quixote he has been dreaming of an "island" of which he would be governor, and he wants the title of duchess for his daughter. These desires do not come spontaneously to a simple man like Sancho. It is Don Quixote who has put them in his head.⁶⁵

But Girard is actually more interested in observing how the theme of mediated desire can be found in the novels of Flaubert, Stendhal, Proust, and Dostoyevsky and describing the evolution of the theme than he is in examining Don Quixote itself. Girard's unique diachronic understanding of the history of the Quixotic Novel leads him to ignore actual chronology and arrange the authors who follow Cervantes in the order above. The development of the theme in the works of these authors is a development toward the "internalization" of mediation. The hero in Cervantes's seminal story declares his imitation openly; he is, therefore, a hero of a novel about external mediation. The heroes in Proust and Dostoyevsky are unaware of their imitating and believe, in fact, that they are living spontaneously; they are controlled by internal mediation. Girard explains his distinction:

Romantic works are...grouped into two fundamental categories...We shall speak of external mediation when the distance is sufficient to eliminate any contact between the two spheres of possibilities of which the mediator and the subject occupy the respective centers. We shall speak of internal mediation when the same distance is sufficiently reduced to allow the two spheres to penetrate each other more or less profoundly.

...The hero of external mediation proclaims aloud the true nature of his desire. He worships his model openly and declares himself his disciple. ...The hero of internal mediation, far from boasting of his efforts to imitate, carefully hides them.⁶⁶

Don Quixote can openly declare his allegiance to Amadis because the mediator occupies a different state of existence than he, the disciple, does. Amadis cannot be Quixote's rival or enemy because he does not live in Quixote's world. In The Red And The Black, on the other hand, mediators and disciples occupy the same universe, the same town, and so can become bitter enemies. Thus, the imitator cannot admit his desire is made for him by his need to imitate; it would be admitting his inferiority toward his rival. M. de Rénal hires Julien Sorel, Girard points out, not because he wants his children to be educated, but because he fears that Valenod, his rival and mediator, intends to hire Julien to tutor his children. In the end of the novel Julien wins back the desire of Mathilde de la Mole by paying court to her rival (and her model) the Maréchale de Fervacques. Because the Maréchale seems to desire him, Mathilde desires him. Because it appears that Rénal's mediator, Valenod, thinks Julien should tutor his children, Rénal must have Julien tutor his children. But,

R nal and Mathilde could never admit the source of their desires (in their model) even to themselves and so they are controlled by internal mediation. Girard finds an example of internal mediation in the Quixote, also, but first he describes the development of the theme.

He cites Jules de Gaultier's essay "Bovaryism" as one source of his theory. Gaultier's description of those characters in Flaubert who are plagued by "bovaryism" is a description of all those heroes Girard names as plagued by "triangular desire":

The same ignorance, the same inconsistency, the same absence of individual reaction seem to make them fated to obey the suggestion of the external milieu, for lack of auto-suggestion from within.⁶⁷

As the mediator comes closer to the disciple the malady grows more malignant. Thus, Girard arranges the "triangular desires" in the following order, from external mediation to the most internal, from the least malignant to the most malignant: quixotism, bovaryism, Stendhalian vanity, Proustian snobbism, and the Dostoyevskian underground. It is for this reason that Girard ignores the actual chronology of the novels to arrange the authors in his own scheme. (He says at one point, " [The] last stage was reserved for...Dostoyevsky, who precedes Proust chronologically but succeeds him in the history of triangular desire."⁶⁸) Don Quixote can openly declare and recognize his model and so, although he is affected by mediation, he is "among heroes of novels...the least mad."⁶⁹ Emma Bovary can declare her allegiance to her model, the Paris styles and

fashions and the women who wear them, but her model is closer to her than Amadis is to Quixote: at the ball at La Vaubyessard she meets her mediator in person. For the heroes in Stendhal, Proust, and Dostoyevsky, the relationship with the mediator is recognized not as an allegiance and dedication (which it actually is) but as a rivalry and competition. In these cases disciples find their mediators in the people closest to them. (In The Brothers Karamazov, for example, the triangles of desire are drawn from one family member to another, each son through his father.) There are cases in these novels of what Girard calls "double mediation," the situation when two rivals represent mediators for each other and so are each dedicated to the pursuit of the desires each imagines the other to have. (The de Renal-Valenod relationship in The Red And Black is such an example; Varvara Petrovna and Stepan Trofimovitch in The Possessed "are equally fascinated with each other."⁷⁰)

Girard names Dostoyevsky's The Eternal Husband as a kind of ultimate in the development of triangular desire because in that story the mediator is so close to the disciple the object of desire becomes irrelevant. The husband, Pavel Pavlovitch, can desire only women who seem to attract the former lover of Pavlovitch's dead wife, Veltchaninov. He follows the lover around and even brings him to meet the woman he has chosen to be his next wife. "The Eternal Husband reveals the essence of internal mediation in the simplest and purest form possible," writes Girard.

Confronted with Pavel Pavlovitch we can have no more doubts about the priority of the Other in desire...The hero is always trying to convince us that his relationship with the object of desire is independent of the rival. Here we clearly see that the hero is deceiving us. The mediator is immobile and the hero turns around him like a planet around the sun.⁷¹

Then, in a brilliant turn, Girard notes where else this simplest and purest form of the story of triangular desire has appeared: in "The Curious Impertinent" in Don Quixote Girard observes:

The two "extremes" of desire, one [external mediation] illustrated by Cervantes, the other [internal mediation] by Dostoyevsky seem the hardest to incorporate in the same structure. We can accept that Pavel Pavlovitch is a brother to Proust's snob and even to Stendhal's vaniteux, but who would recognize in him a distant cousin of the famous Don Quixote? ...How could the creator of this sublime being have an inkling of the swamps in which the eternal husband wallows?

The answer is to be found in one of the short stories with which Cervantes padded Don Quixote... "The Curious Impertinent" portrays a triangular desire exactly like that of Pavel Pavlovitch.⁷²

Girard's parallel makes a convincing argument. Anselmo is the "eternal husband" in Cervantes's interpolated tale. He is more interested, it seems (after we have heard Girard's argument), in his (Lothario's) model's desire for his wife, Camila, than he is in loving his wife himself. Anselmo's planet circles around Lothario's sun. "The only difference between the two stories," Girard believes, "is in technique and the details of the intrigue...In both cases only the prestige of the mediator can certify the excellence of a sexual choice."⁷³

It is in this way that Don Quixote contains "all the ideas

of the Western novel...in germ."⁷⁴ For Girard all the ideas of the Western novel are variations on the idea of triangular desire.

No literary influence can explain the points of contact between "The Curious Impertinent" and The Eternal Husband. The differences are all differences of form, while the resemblances are resemblances of essence.

No small distance separates the Cervantes of Don Quixote and the Cervantes of Anselmo since it encompasses all the novels we have considered Don Quixote, Madame Bovary, The Red And Black, Remembrance of Things Past, A Raw Youth, The Eternal Husband, The Brothers Karamazov, et al. Yet the distance is not insuperable since all the novelists are linked to each other; Flaubert, Stendhal, Proust, and Dostoyevsky form an unbroken chain for one Cervantes to the other.⁷⁵

For Girard, then, the Quixotic Principle is a thematic principle. Cervantes's major contribution to literary history and specifically the genre of the novel is the introduction of the theme of mediated desire, a theme which forms the essence of the many novels Girard examines. It is not a matter of direct literary influence, he claims: Dostoyevsky "never realized" the connections between his work and Cervantes's (because Dostoyevsky "saw the Spanish masterpiece only through romantic exegeses and probably had a most inaccurate picture of Cervantes."⁷⁶) It, the presence of the theme of mediated desire, is an apparently inevitable, unintended result of the great novelists writing novels about heroes with desires. "The creative force of Cervantes is so great," Girard concludes, "that it is exerted effortlessly throughout the whole 'novelistic' space."⁷⁷ By Girard's argument it seems the theme Cervantes

introduces cannot be avoided. It structures the Western novel "effortlessly" because mediated desire is the essence of life in Western culture, because mediated desire is a real presence structuring all our lives.

One of the most appealing aspects of Girard's theory is that it enables him to explain, rather than reject, Don Quixote's deathbed conversion in the final chapter of the novel. As Girard notes, many commentators (Girard calls them "the romantics") consider Cervantes's ending to his masterpiece artificial and insignificant. Although Girard mentions him only once by name, Unamuno is probably the best-known of those who reject the last chapter. In The Tragic Sense Of Life Unamuno argues against the reality of the deathbed conversion by maintaining that there are two Quixotes. The first Quixote dies after disassociating himself from the absurd ideals of chivalry (absurd ideals which Unamuno, of course, espouses); the second, the immortal Quixote, the man we remember and must imitate, is the mad knight of the rest of the book: "this Don Quixote is not converted," Unamuno writes, "this Don Quixote continues to incite us to make ourselves ridiculous, this Don Quixote must never die."⁷⁸

It is interesting to compare Girard's analysis with Unamuno's because Girard, too, finds a spiritual message at the heart of the Quixotic Novel, but for him it is in Quixote's rejection of the absurd ideals that Quixote proves himself. (Girard calls Unamuno's interpretation, in his one reference

to it, "delirious."⁷⁹) Girard links Quixote's deathbed conversion to two similar ones--Stepan Trofimovitch's in The Possessed and Julien Sorel's in The Red And Black. Girard observes, "The unity of novelistic conclusions consists in the renunciation of metaphysical desire. The dying hero repudiates his mediator." "The title of hero of the novel," he adds,

must be reserved for the character who triumphs over metaphysical desire in a tragic conclusion and thus becomes capable of writing the novel. The hero and his creator are separated throughout the novel but come together in the conclusion. Approaching death, the hero looks back on his lost existence.

Every novelistic conclusion is a beginning.
Every novelistic conclusion is The Past Recaptured.⁸⁰

Girard has, like Unamuno, a tragic sense of life, but he believes the end of despair lies in a different direction than the one Unamuno suggests we follow. Unamuno believes that man must make himself absurd, live by ridiculous ideals, to live with the fear of death. Girard believes that man must face death squarely. For Girard it is only in the acceptance of death and nothingness that man can escape despair. Heroes of novels triumph when they realize they must die and that they are, and have been, nothing. The conclusions of Don Quixote, The Possessed, The Red And The Black, and all the other books Girard calls "novels" are the same:

The conclusions of all novels are reminiscent of an oriental tale in which the hero is hanging by his finger-tips to the edge of a cliff; exhausted, the hero lets himself fall into the abyss. He expects to smash against the rocks below but instead he is supported by air; the law of gravity is annuled.⁸¹

The hero floats because in acceptance of death he stops living by mediated desire at last.

If one wants to dispute Girard's theory, the best approach is, I think, to argue that the triangle explains too much. Once Girard gives us his triangle we can see more clearly than ever the obvious links between Emma Bovary and Don Quixote and we can grasp more easily the complex and distant link between Don Quixote and Proust's Marcel. The triangle is so useful, however, that Girard can use it as the basis for many arguments that intuition should not allow us to accept. The following passages are taken out of context, but reading them out of context is the best way to appreciate the dimensions of Girard's claims. "The movement toward slavery," he says at one point,

is one of the basic principles of novelistic structure. Every authentic development in the novel, no matter how broad its scope, can be defined as a transition from mastery to slavery.⁸²

Girard leaves it unclear what can be considered an "authentic development in the novel" but one must reject, intuitively rather than logically, any theory that claims to explain every authentic development in the novel. Girard displays throughout his book an ability for making the kind of hyperbolic comment that leaves the reader's mind reeling so that he can't find

any way to grasp the thought. One example comes early in the book when Girard gives a brief history of triangular desire: "Romantic revulsion, hatred of society, nostalgia for the desert, just as [sic] gregariousness, usually conceal a morbid concern for the Other."⁸³ (Can one live a life style that reveals one's lack of concern for the Other? Not if Girard is right.) Another example appears in Girard's analysis of Remembrance Of Things Past:

Recapturing the past is to welcome a truth most men spend their lives trying to escape, to recognize that one has always copied Others in order to seem original in their eyes and in one's own. Recapturing the past is to destroy a little of one's pride.⁸⁴

There are also many statements throughout the text which, no matter how admirable one finds Girard's critical energy, one must reject as oversimplifications: "It is a fact that Don Quixote and Sancho Panza are never happy unless they are being beaten black and blue"⁸⁵; "Great novels always spring from an obsession that has been transcended,"⁸⁶; "All heroes of novels hate themselves..."⁸⁷; "The ultimate meaning of desire is death..."⁸⁸.

Finally, Girard's explanation of the mechanics of Cervantes's influence on Western literature must be questioned. His description of the model in Don Quixote is very precise: he gives us that single figure, the triangle of mediated desire. But, how does this model come to be used by the other authors? How exactly does Cervantes's model move "effortlessly throughout the whole 'novelistic' space?" How does Dostoyevsky

come to use it when he could not have read Don Quixote in an accurate translation? Is the truth really as Girard implies, that the phenomenon of mediated desire is such a part of Western culture that authors after Cervantes cannot help making it the central theme of their work? Or, is the truth something else?

4. Looking Ahead

For the analyst interested in examining Don Quixote from the point of view of the narrative there is something to be gained from all three of the approaches sketched above. All suggest directions for further analysis.

Among the diachronic critics there is agreement that Quixote's madness is a central element in the text. Both Foucault and Auerbach understand this element in a way that is, I think, interestingly close to how Propp and Barthes would understand it. They both understand (implicitly) that Quixote's madness serves the discourse's "instinct for preservation." Foucault calls Quixote's madness "the knot"; Auerbach realizes that Quixote's madness generates the narrative action. Indeed, Auerbach's reading of "The Enchanted Dulcinea" episode looks like Barthes's reading of "The Story's Interest" (Chapter One) turned inside out. Auerbach's point is that Quixote's "solution" prevents the hero from coming to grips with reality, but his analysis demonstrates that Quixote's escape clause serves the same function served by Sarrasine's ignorance: the story's interest. When Quixote and Sarrasine learn they are deluded and come to grips with reality, their stories must end.

Propp and Barthes might be interested in turning the analyses of the synchronic critics inside out, also. They would be interested by Spitzer's, Levin's, Nelson's, and the

others' attempts to reduce the complexities of the novel to a simple model, a unity of disunities, but they would also be interested in demystifying the characters of Quixote and Sancho. There is much to be said for the argument that the novel is generated by a synthesis of "the ideals of Quixote" and "the appetites of Sancho" or of "a tall, thin idealist" and a "short, fat realist." However, Propp and Barthes, and any one else interested in examining the novel from the point of view of the narrative, might want to ask whether it is the opposition of dualities that generates the tale or the tale that generates the opposition.

Girard's reading is, I think, the most intriguing to the analyst interested in examining Don Quixote from the point of view of the narrative. Girard gives us the triangle of mediated desire, shows us how the figure can be seen as a dynamic model structuring the novels of Flaubert, Stendhal, Proust, and Dostoyevsky, and leaves us with the question about the mechanics of influence: How does the triangle move "effortlessly" through literary history?

NOTES

1. Erich Auerbach, Mimesis: The Representation Of Reality In Western Literature, trans. Willard R. Trask (Princeton: Princeton University Press, 1953) p. 358.
2. Salvador de Madariaga, "Don Quixote": An Introductory Essay In Psychology (London: Oxford University Press, 1961; originally published 1934).
3. Erich Kahler, The Inward Turn Of Narrative, trans. Richard and Clara Winston (Princeton: Princeton University Press, 1973), p. 57.
4. Michel Foucault, Madness And Civilization: A History Of Insanity In The Age Of Reason, trans. Richard Howard (London: Tavistock, 1965, pp.31-32).
5. Auerbach, p. 358.
6. Leo Spitzer, "On The Significance Of Don Quixote," Cervantes: A Collection Of Critical Essays, ed. Lowry Nelson, Jr. (Englewood Cliffs, N. J.: Prentice-Hall, 1967), p. 91.
7. Harry Levin, "The Example of Cervantes," Cervantes: A Collection Of Critical Essays, p. 36.
8. Gerald Brenan, "Cervantes," in Cervantes: A Collection Of Critical Essays, p. 16.
9. Kahler, p. 57.
10. Ibid., p. 49. It should be noted that Kahler means "superindividual significance" in his own special sense, not as the term might be used to describe, for example, Aeneas or an Old Testament patriarch.
11. Ibid., p. 5.
12. Ibid., p. 67.
13. Ibid., p. 20.
14. Ibid., p. 35.
15. Ibid., p. 38.

16. Ibid., p. 40.

17. Ibid., p. 57.

18. Ibid.

19. Jose Ortega y Gasset, Meditations On Quixote, trans. Evelyn Rugg and Diego Marin (New York: Norton, 1961), p. 51.

20. Foucault also discusses Cervantes in Les Mots et les choses (Paris: Gallimard, 1966) translated as The Order Of Things (New York: Pantheon, 1971).

21. Foucault, p. 27.

22. Ibid., p. 28.

23. Ibid., p. 29

24. Ibid., p. 30.

25. Page numbers throughout this study refer to the English translation by Samuel Putnam. The Ingenious Gentleman Don Quixote de la Mancha (New York: Modern Library, 1949). The Spanish in brackets and notes is from the Editorial Juventud edition (Barcelona: 1971).

26. Ibid., p. 31.

27. Ibid., p. 32

28. Ibid.

29. Auerbach, p. 331.

30. Ibid., p. 332.

31. Ibid.

32. Ibid., p. 357.

33. Ibid., p. 340.

34. Ibid., p. 354.

35. Ibid.

36. Ibid.

37. Ibid.

38. Ibid.

39. Ibid., p. 355.
40. Ibid.
41. Ibid.
42. Ibid., p. 358
43. Spitzer, p. 86. Spitzer's diachronic emphasis is clear enough in what is paraphrased here. It is even more pronounced in his bold summary of Don Quixote's unity: "Modern anarchy checked by a classical will to equipoise: the baroque attitude:" (p. 95). His discovery of a formal equilibrium of disunities, however, has, as I argue, strong synchronic implications.
44. Ibid., p. 91.
45. Ibid.
46. Ibid.
47. Ibid., p. 92.
48. Levin, p. 34.
49. Ibid., p. 36.
50. E. C. Riley, Cervantes's Theory Of The Novel (Oxford: Clarendon Press, 1962), p. 11.
51. Ibid., p. 31.
52. Lowry Nelson, Jr. "Introduction," Cervantes: A Collection Of Critical Essays, p. 10.
53. Ibid., p. 3.
54. Lionel Trilling, "Manners, Morals, And The Novel," The Liberal Imagination (Garden City, N. Y.: Doubleday, 1954), p. 202.
55. Ibid., p. 202.
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57. Frederick R. Karl, A Reader's Guide To The Eighteenth Century English Novel (New York: Noonday Press, 1974) p. 60.

58. Helmut Hatzfield, "The Style," trans. Edith Mead, The Anatomy of Don Quixote, ed. M. J. Bernardete and Angel Flores (Port Washington, N. Y.: Kennikat, 1969) pp. 87-88.
59. Nelson, p. 4.
60. Adams, p. 73.
61. Brenan, p. 16.
62. Trilling, p. 203.
63. René Girard, Deceit, Desire, And The Novel: Self And Other In Literary Structure, trans. Yvonne Freccero (Baltimore: Johns Hopkins Press, 1965), p. 52.
64. Ibid., pp. 1-2
65. Ibid., p. 3.
66. Ibid., p. 9.
67. Jules de Gaultier in Girard, p. 5.
68. Op. cit., p. 41.
69. Ibid., p. 192
70. Ibid., p. 172
71. Ibid., p. 46
72. Ibid., p. 49.
73. Ibid., p. 50.
74. Ibid., p. 51.
75. Ibid., p. 52.
76. Ibid., pp. 51-52
77. Ibid., p. 52
78. Miguel de Unamuno, Tragic Sense Of Life, trans. J. E. Crawford Fritch (New York: Dover, 1954), p. 323.
79. Op. cit., p. 79.
80. Ibid., pp. 296-297

81. Ibid., p. 294.
82. Ibid., p. 170.
83. Ibid., p. 15.
84. Ibid., p. 38.
85. Ibid., p. 180.
86. Ibid., p. 300.
87. Ibid., p. 55.
88. Ibid., p. 290.

CHAPTER THREE
SANCHO PANZA FROM THE POINT
OF VIEW OF THE NARRATIVE

This chapter and the next are given to an examination of the narrative structure of the first Quixotic Novel. The present chapter attempts to do two things: to explain the nature of Sancho Panza's "character" and to describe two of the three kinds of narrative sequences in the novel. The next chapter focuses on Don Quixote and discusses the third kind of narrative sequence.

There are, it seems to me, three kinds of sequences in Don Quixote. All work by the principles outlined by Propp and Barthes: they are cause and effect sequences whose motion is a movement from imbalance to the restoration of balance. The reader is led to move through every sequence by the invocation of a deficiency (a disequilibrium) and by the implicit promise of narrative chronology that some event will bring the sequence to an end: the deficiency will be liquidated. The differences in the three kinds of sequences are differences of length. The shortest sequences can be called the first-order or atomic sequences; of the three kinds of sequences to be examined here they most closely resemble the sequences Barthes calls the actional code. They are brief, two-step processes; the reader, unless he is analyzing, is not even aware that a cause has been invoked (implicitly promising an effect) and an effect given (capping the sequence). All the atomic

sequences can be named and recognized as generic entities, but the ordinary reader does not usually stop to examine them. (It should be noted that neither Propp nor Barthes divides narrative into three kinds of sequence. Both their systems of analysis will be modified in this discussion. I do not intend to reproduce either system exactly. Rather, by imitating their spirit and general principles, I intend to find my own way through the narrative of Don Quixote.)

The next longer sequences are the sequences ordinarily recognized as narrative sequences by Cervantine critics: these are the second-order sequences; they can be called the episodic sequences. They work by the same principles of cause and effect, but they are longer than the atomic sequences. The "Windmills" episode is an example of an episodic sequence.

The third kind of sequences can be called the novelistic sequences. As far as I can tell, there are only five of these in Don Quixote. These are the loosest structures of all the sequences and run throughout the novel. They will be discussed in Chapter Four.

The present chapter is divided into four parts. The first section is a brief summary of a few of the different interpretations of Sancho Panza's role in Don Quixote. The second section is an analysis of the narrative of one chapter in the novel, (II, 28). Five atomic sequences are found and the function of Sancho in each sequence is examined. The third section below is an analysis of some of the episodic sequences in the novel: the "Windmills" episode, the "Enchanted Dulcinea"

episode, and others. A formula is proposed to describe the structure of these sequences, the formula $Q \rightarrow V \rightarrow Q/V$. Sancho's functions in the sequences are again examined. The analyses of the atomic sequences and the episodic sequences lead to the same understanding of Sancho's role in the novel: Sancho has no set role to play; he is a flexible character who can perform different functions and fits into the narrative structure in different ways. The reason critics disagree about Sancho's character is, I will argue, because Sancho Panza is not a homogeneous character; he is a complex of various functions. The fourth section below is a brief answer to an imagined argument, an argument which might be made by a reader unsympathetic to the methods adopted in this chapter.

1. Sancho's Role

Sancho Panza is probably the most famous sidekick in all of literary history. Clearly, he is an important element in the texture of Don Quixote. Several commentators have observed that his role is an essential part of Cervantes's narrative formula.¹ It is interesting, therefore, that there seem to be several, quite different readings of that role.

As a term in sociological and colloquial contexts outside Cervantine criticism "Sancho Panza" has come to represent the antithesis of "quixotism": a "Sancho" is what a "Quixote" is not. Usually, in these contexts "Sancho Panza" is a man of common sense, an earthly realist. A "Sancho" is in touch with mundane reality; a "Quixote" is deluded by the lure of romance.

Although there are a few analytical readers who argue for this understanding of Sancho in the text (Turgenev, for example),² this is more often, I think, the understanding of those who have not read the book and know it only at second-hand. One cannot read far into the novel without wondering about Sancho's common sense. In his first appearance, in fact, (I, 7), Sancho reveals that he has decided to join Quixote in chivalric adventures because he believes serving as a squire will earn him a governorship. In the next chapter, the Adventure of the Windmills, Sancho does seem to be in touch with mundane reality--he can see the windmills are not giants--but witnessing Quixote's mad charge and the following

absurd, uncalled-for attack on the Biscayan does not cure Sancho of his delusion or shake his misplaced faith in Quixote. After the knight defeats the Biscayan, Sancho kisses his master's hand and says,

"May your Grace be blessed, Senor Don Quixote, to grant me that governorship of that island which you have won in this deadly fray; for however large it may be, I feel that I am indeed capable of governing it as well as any man in the world has ever done." (p. 75)

It is moments like this and Sancho's loyalty to Quixote throughout the novel that give substance to Girard's claim that Sancho is not Quixote's antithesis at all. In Deceit, Desire, And The Novel Girard argues that Sancho is a victim of the same "triangular desire" that disables Quixote. For Girard, Sancho is a kind of shadow-Quixote: Sancho is imitating Quixote in the same way Quixote is imitating Amadis. "Don Quixote is Sancho's mediator," writes Girard.

The effects of triangular desire are the same in the two characters. From the moment the mediator's presence is felt, the sense of reality is lost and judgment paralyzed.³

Girard thinks those who see "little more than the contrast between Don Quixote the idealist and Sancho the realist" are "romantic readers." The contrast is real,⁴ he concedes, "but secondary."

Salvador de Madariaga is another reader who argues against the ordinary understanding of Sancho. His study Don Quixote: An Introductory Essay In Psychology is probably

the best-known attempt to explain Sancho's role in the novel. Madariaga calls the reading that sees Sancho only as Quixote's antithesis "superficial tradition":

Superficial tradition has reduced [the novel's] marvelous psychological fabric to a line of simplest melody: Don Quixote, a valiant knight and idealist; Sancho Panza, a matter of fact and cowardly rustic. What tradition does not see is that this design which, on first impression, is based on contrast, resolves itself into a complicated and delicate parallel. Sancho is...a transposition of Don Quixote in a different key. (emphasis in original)⁵

Although from this passage one may think Madariga's reading is like Girard's, it is, actually, crucially different. Girard implies that Sancho is a stable entity, a character never able to live life directly because all his desires must be mediated, because he can not live life spontaneously. The essence of Madariaga's reading, on the other hand, is that Sancho is a character in flux, a character whose nature changes as he travels through the adventures of the novel. Madariaga proposes an elegant (and famous) formula to explain the structure of the novel: Sancho's development is a psychological movement away from his original earthly, mundane sensibility toward his companion's quixotic sensibilities; Quixote's development is a complementary one, a movement from romance and idealism toward earthliness and realism. Don Quixote and Sancho Panza begin as opposites, according to Madariaga, but then they

draw gradually nearer, attracting each other by virtue of a slow and mutual influence which is, in its inspiration and its development, the great charm and achievement of this book.⁶

Sancho, by this argument, changes his personality as he learns to imitate Quixote.

...while Sancho's spirit rises from reality to illusion, Don Quixote's descends from illusion to reality. And the two curves cross in that saddest of adventures, one of the cruelest in the book, when Sancho enchants Dulcinea...⁷

"The Enchanted Dulcinea" episode marks the spot where Sancho and Quixote's characters cross because in that scene it is Sancho who deludes Quixote and it is Quixote who can see only mundane reality. (Sancho covers up his failure to carry a message from his master to the Dulcinea by pretending that three peasant girls are the beautiful Dulcinea and her handmaidens.)

A fourth reading of Sancho's role has been provided recently by John J. Allen in an essay entitled "The Governorship Of Sancho And Quixote's Chivalric Career." Allen, like Madariaga, believes Sancho is a character in flux, a character whose nature changes in the course of the novel, but, unlike Madariaga, he sees Sancho's development as a movement away from illusion. Although Madariaga calls his own outline a "parallel" it is Allen's reading that draws the parallel. In Madariaga's scheme the characters move toward each other, Sancho from reality toward Quixote, Quixote from illusion toward Sancho: it is a crossing pattern. Allen, the most

careful and painstaking critic of Cervantes I have read, finds and describes a true parallel arrangement in the stylistic and psychological elements in Sancho's quest for the governorship and Quixote's quest for chivalric fame. He believes the two quests take the two characters from the same kind of delusion, in overconfidence and vanity, to the same kind of epiphany, in humility and self-understanding:

Both Sancho and Don Quixote [live] through a process beginning with pride and presumption and a consequent unawareness of their limitations moving toward self-discovery through suffering, and culminating with confession and repentance.⁸

Sancho begins his participation in the adventure, Allen observes, believing he can govern "as well as any man has ever done"; he ends his quest for the governorship after the Duke and Duchess give him his island and he realizes power and wealth are not for him. He learns his hunger for power was wrong:

"I know no more about governing islands than a buzzard does, and if I thought for a minute that in order to be a governor the devil would have to carry me off, then I would rather go to Heaven as Sancho than go to Hell as a governor."
(p. 788)

Sancho's realization foreshadows Quixote's deathbed discovery that he has been deluded. Quixote proves he has made the same discovery Sancho made on the island when he says, after the chivalric fever has left him, in response to Sanson Carrasco's and Sancho's urgings that he continue with their plans to become shepherds, "Not so fast, gentlemen. In last

year's nests there are no birds this year." (p. 986)

(Allen makes an observation about Quixote I have seen nowhere else: Quixote is ethical only because his role requires it; "Don Quixote's initial goal is fame....The initial attraction of the books of chivalry is....esthetic, not ethical, and his desire to right wrongs is simply a necessary consequence of this attraction.")⁹ Allen's reading is unlike Madariaga's then, because Madariaga believes the two characters change in different ways while Allen believes they change in the same way. Specifically, Madariaga argues that "Sancho's spirit rises from reality to illusion" while Allen argues that Sancho (like Don Quixote) goes from illusion to reality.

There are ways to reconcile these four readings, but it better serves my purposes to underline their differences by presenting the following diagram:

<u>Reader</u>	<u>Illusion</u>		<u>Reality</u>
"Superficial Tradition"	Quixote		Sancho

Girard	Quixote Sancho		

Madariaga	Quixote	→	Sancho
		←	

Allen	Quixote Sancho	→	
		→	

The variety of interpretations is interesting. How can there be such a disagreement about the fundamental nature of one of

the most famous partnerships in literature? Why haven't critics, after all these years, come to some uniform understanding of the two heroes?

Much has been written of late, by Norman Holland, Harold Bloom, and others, about the intrinsic plurality of texts: reading is essentially a subjective activity and so there can (or must) be as many interpretations as there are readers. We could use this truth to explain away the contradictions diagrammed above, but a more valuable procedure would be to attempt to find in the text the sources of the disagreement. This is what the next section of this paper attempts.

2. II, 28: A Sample Analysis

One problem with adapting Propp's and Barthes's methods to longer narratives is that the going is slow. The analyst interested in tracing every narrative sequence must proceed word by word through the text. In the case of Don Quixote the analyst has a one-thousand page text to consider. I think the only practical solution is for the analyst to examine a significant sample of the text and to see what conclusions he can reach from an examination of that fragment. That is what I intend to do in this section. I will examine one short fragment of the novel, Chapter 28 in Part II.

The chapter is not the most memorable in the book. Indeed, any reader who can remember what happens between the Braying Adventure (II, 27) and the Adventure of the Enchanted Bark (II, 29) has an admirable knowledge of Don Quixote. But the chapter does make a good sample for the purposes of this study: it is relatively brief; it depends for its existence on the presence of Sancho (without him, there could be no chapters in Don Quixote like II, 28); and it is made of dialog. Several critics have argued that the interludes of dialog, like II, 28, are the essence of the novel. Criado de Val has argued, in fact, that the dialog is the only masterful element in Don Quixote.¹⁰ Gerald Brenan has argued that it is the dialog between Sancho and Don Quixote that gives the novel its unity:

Perhaps the relationship between the pair may best after all be compared to that most intimate of partnerships, marriage. Their dialog is made up of the same inconclusive wranglings, the same recriminations, and tu quoques, the same fixed recollections and examples dragged out again and again from the past to clinch the argument...

And this has the effect of lacing together in an extraordinary way the various incidents. One of the most admirable things about this novel, which at first sight seems to be composed of a number of separate episodes, strung together like beads on a thread, is that few things in it are really finished with when they have occurred. On the contrary, they are taken up into the minds of the two protagonists and reappear later on as a part of their argument. This not only gives the plot more unity, but it also makes it more subtle. Every striking event has...a succession of echoes and it's these echoes that make the book what is is.¹¹

Chapter Twenty-seven ends with Don Quixote running from a battle for the first time since his knighting. Sancho has stirred the anger of the town of the brayers by braying in their presence, an act they consider mockery. They knock Sancho senseless and attack Quixote with stones. Don Quixote retreats with his heart in his mouth.

The reader is asked here to consult the complete text of II, 28.

I have broken the chapter into what seem to me to be the five atomic sequences that make up the chapter. The numbers on the skeletal outline below represent the five sequences; the letters mark the paragraphs (in the Putnam translation) within each sequence for easier reference.

Chapter XXVIII. Of things that, Benengeli says, the reader will come to know if he reads attentively.

1.a.) When the brave man flees, it means...

1.b.) This truth was brought out in the case of Don Quixote...

1.c.) "An evil hour it was, Sancho, when you learned to bray! Where did you ever hear that it was a good thing to mention the rope in the house of the hanged man?"

1.d.) "I'm in no condition to answer...I'll not bray anymore, but I can't help remarking that knights-errant appear to run away and leave their faithful squire in the hands of the enemy..."

1.e.) "He who retires," said Don Quixote, "does not flee...The histories are full of such instances, but as it would do you no good to refer you to them; I shall spare myself the trouble for the present."

There are a few complexities here which hide the fundamental structure somewhat, but there is a generic sequence here. It can be named: A witness confronts a pretender with evidence of his duplicity; the pretender finds an excuse to justify his duplicity and so continue his pose. The pretender is, of course, Quixote. Sancho's role in this sequence is a role he plays at many other places in the narrative: he is a witness; he has heard Quixote extol his knightly courage and has seen him run like a coward. His comment "I can't help remarking..." initiates the cause and effect sequence (cause=confrontation; effect=justification). The sequence is one the reader recognizes from the already-read; it is a scene he has encountered elsewhere, perhaps in Act II, Scene iv of Henry The Fourth, Part I, where Hal and Falstaff perform a sequence much like the above. (Hal, playing the witness, confronts Falstaff, the pretender, with evidence that the story Falstaff has been telling about dueling with a dozen men is a

lie since it was Hal himself, in disguise, who defeated him. Like Quixote, Falstaff quickly finds an excuse: "By the Lord," he exclaims, "I knew ye as well as he that made ye... Was it for me to kill the heir-apparent?")

It is worthwhile looking at the complexities of this sequence for a few moments because in this particular move Cervantes uses several narrative elements besides the cause-effect sequence to generate his narrative. First of all, he uses the momentum of the previous chapter to carry his reader for a few paragraphs into this chapter; in fact, he repeats himself. Paragraph 1.b.) is a repetition of the last paragraph of the previous chapter.¹² It is an awkward moment in the narrative because the repetition is unnecessary and it is in moments like this that we sense Cervantes struggling, his pen is moving across the page, putting black on white, while he waits for his narrative genius to come up with something. The moment sets the tone for the whole chapter: it is an improvisation. It is moments like this that Auerbach is thinking of when he observes that Cervantes had no real narrative plan for Don Quixote but only allowed himself "to be guided by the momentary situation, by the demands of the adventure in hand."¹³ The narrative does not unravel under inspection, however. Cervantes may be improvising, but he is improvising like a genius. He ties the sequence to the rest of the narrative by the echoing proverb (1.c.) "Where did you ever hear it was a good thing to mention the rope..."

etc., a proverb Sancho used hundreds of pages earlier.¹⁴ Cervantes also gives the sequence a symmetry by having Quixote repeat Cid Hamete's explanation of why brave men flee. The novel is filled with little ironic touches like this. Here the Cid's commentary sounds true enough until it is subverted by Quixote's self-justifying use of it. Quixote's argument is undercut, to add another irony, by the fact that he has just argued for the opposite opinion in "The Adventure Of The Lions" when he observes, "It is better for the brave man to carry his bravery to the point of rashness than for him to sink into cowardice." (p. 619) All of these complexities deserve more analysis and commentary, but they are not part of the atomic structure. What makes the opening sequence work is the question and the answer. Sancho poses the question that the reader wants asked (the reader wants to know how Quixote will justify himself this time) and Quixote gives the answer that must be given (for the narrative to continue the quixote must continue to delude himself).

The other four moves in the chapter may be more quickly described.

2.a.) Sancho was by now once more on his gray's back... Every so often Sancho would heave a deep sigh or moan...it was nearly driving him crazy.

2.b.) "The reason for that," remarked Don Quixote, "is undoubtedly the fact that the club they used was a long one..."

2.c.) "By God," exclaimed Sancho, "your Grace has taken a great load off my mind..."

2.d.) "I'd do a lot better," he went on, "...by going home to my wife and young ones...I'd like to see the one who started this knight-errantry business burned to ashes..."

Quixote initiates this sequence by throwing salt in Sancho's wounds; his gratuitous analysis ("...the club they used was a long one...") is the cause; Sancho's angry reply is the effect. The sequence can be generically named: The callous master treats his suffering servant too cruelly; the servant reacts with harsh insubordinate words. Sancho plays in this move the role of the anti-Quixote: his words are the words of the earthly realist, of a man of common sense, "I'd do a lot better by going home to my wife..."

The next two sequences are interlocked; there are two separate sequences, but the second, #4, is initiated before #3 has reached its conclusion:

- 3.a.) "I would lay a good wager with you, Sancho..."
- 3.b./2.e.) "When I worked for Tome Carrasco...I earned two ducats a month...The work in the fields may be hard, but at the worst...we have our olla and a bed to sleep in-- and that's something I haven't had since I've been serving your Grace..."
- 3.c.) "I admit that everything you say is true, Sancho..."
- 3.d.) "As I see it, if your Grace would give me a couple of reales more for each month, I would consider myself well paid..."
- 3.e.) "Very well, it is now twenty-five days..."
- 4.a.) "Oh body of me!"
- 4.b.) "Well and how long has it been..."
- 4.c.) "If I'm not mistaken...more than twenty years and three days..."
- 4.d.) At this Don Quixote slapped his forehead...
- 4.e./3.f.) "Why with my wanderings in the Sierra and all the rest barely two months have gone by...But tell me, you perverter of the laws of chivalry...where have you ever heard of a squire who made such terms with his lord...?"
- 3.g.) "Turn, then, the reins...and go back to your home..."
- 3.h.) Sancho...was so smitten with remorse that the tears came to his eyes.
- 3.i./5.a.) "Master, I will grant you that all I lack is a tail and I would be an ass..."

The third sequence is the longest of the five in Chapter Twenty-eight; it can be named The wit lays a trap for the fool; the fool is trapped. Quixote tricks Sancho in #3: he leads him into revealing his unchivalrous materialism so he can abuse him by pointing to it; Quixote uses the trap to contrast his idealism to Sancho's commonness. The sequence is difficult to extricate from the narrative because #4 is intertwined with it and there is a residue of #2: in 3.b./2.e.) the third sequence is already in motion--Don Quixote has lured Sancho into calculating his pay and Sancho has begun to do that--but, there is still some anger to be spoken from sequence #2. In this paragraph then Sancho's speech is part of two sequences: it is part of #2 because the anger is the effect of sequence #2, and it is part of #3 because Sancho is in this speech stepping into the trap that forms the structure of this sequence.

Sequence #4 is inserted inside #3. It can be titled: The madman speaks his madness; the sane man laughs a hearty laugh. Cervantes invokes Sancho's madness at this point to generate a move inside a move. The madness of his two heroes is from the author's point of view an invaluable element. The author can create a move at any moment by having either hero demonstrate his madness. No justification, introduction, or explanation (other than that the heroes are madmen) is necessary, and the madness usually generates a sequence: the madman may be wondered and laughed at (as here), or abused

(e.g. by the Duke and Duchess), or dealt with more sympathetically (e.g. by Sanson Carrasco, Dorothea, and the curate and the barber). In any case, madness is a convenient cause which can be inserted at any time. Sancho has, obviously, no reason to say here that the journey has lasted "twenty years and three days, more or less" (4.c.); the reader accepts the statement into the narrative, however, because he knows Sancho is a madman; the reader forgets that the real reason Sancho speaks this absurdity is because Miguel de Cervantes needs to put black on white: Sancho's madness is one technique Cervantes can use to fill an empty page. This is the truth behind Sancho's behavior: his madness is not some analyzable function of a certain psychological personality; his madness is a narrative element. This truth is further revealed by a close examination of sequence #3. Why does Sancho apologize? Why is he suddenly so smitten with remorse? The words he spoke in anger were sincere and accurate: he has had to endure some difficult conditions and it does seem that his squireship is not leading him to the rewards he was promised. His sudden apology does not make "sense," then. But the reader does not stop to find fault with the narrative here; the reader is, instead, carried along by the cause and effect sequence. Sancho's apology makes "sense" because it is part of the operation of the sequence, because the narrative gave

him a chance, the narrative provided a space, for apology. The fool's apology makes "sense" because the wit has tricked him.

An analysis of #5 shows that this sequence is slightly different from the other sequences. The skeleton of #5 is:

3.i./5.a.) "Master, I will grant you that all I lack is a tail and I would be an ass..."

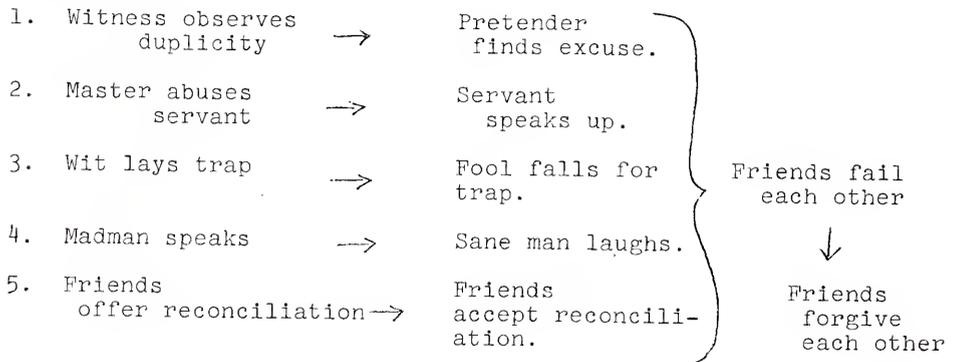
5.b.) "I should have been surprised, Sancho if in the course of your speech you had not rung in some proverb. Very well, I forgive you...you should take heart..."

5.c.) Sancho assured him that he would do so...

It is difficult to name this sequence in the way the other four have been named, because here the initiation of the sequence is mutual: Sancho's "Master, I will grant..." and Quixote's "I should have been surprised..." are both implicit offers of reconciliation and form together the cause in this fifth sequence. The sequence is completed mutually also: Quixote's "I forgive you..." and Sancho's assurance to his master that he will take heart form together the effect in the sequence. The name of the sequence, then, must be something like Two friends (or lovers) who have abused each other make mutual offers of reconciliation; the reconciliation is accepted and the friendship restored. In each of the other sequences the cause was initiated by one member of the pair of the heroes and the effect was completed by the other member. Quixote initiates #2 and #3 and completes #1 and #4; Sancho initiates #1 and #4 and completes #2 and #3. The balance in #5 in which both characters participate in the

initiation and in the conclusion suggests the truth: the fifth sequence caps the sequential movement of the whole chapter. Chapter Twenty-eight is itself structured by a cause and effect sequence. It can be entitled: Two friends fail each other; they discover the means to forgive each other. With this generic title the chapter can be analytically described. It is an interlude between adventures and its structure indicates its nature: it is a pause, a delay, a hesitation in the narrative. The pair of heroes pause in their adventures to argue; the bond between them is tested but not broken because the narrative must continue. With the bond restored to its strength by the final move in the chapter the narrative can lead the pair to the next adventure.

If the sequences have been properly identified, the chapter can now be diagrammed:



The student interested in an empirical understanding of narrative could at this point set out to prove each of the

above is truly a generic sequence. He could assemble a catalogue of similar sequences in other narratives to demonstrate irrefutably that the sequences here are part of the already-read. The student interested in a historical understanding could set out to examine narratives written before Cervantes's time to see whether these sequences were part of the already-written when Cervantes adopted them. The student interested in applying a strict structuralist analysis to Chapter Twenty-eight, however, would be dissatisfied by the diagram above. The sequences are apparently really there, and they seem real generic entities--they are part of the already-read--but, the scheme above is not formal enough. John Holloway has recently criticized T^zavetan Todorov's analysis of the Decameron, an analysis which looks much like the one above, because it "is barely 'structure' of narrative, because it is too near summary of narrative."¹⁵ This is the problem with the analysis above as it stands: it looks more like a plot synopsis than a formula. Holloway writes,

To talk about structure is to talk about form in the sense that what one says can be formalized: which means that it can in principle be expressed in a formal notation, a symbolism. (emphasis in text)¹⁶

Obviously, the analysis above only remotely resembles a symbolic notation. We need to find a more formal representation.

Here the analysis must take a turn away from a hidden bias. So far it has assumed a agent-act/agent-reaction pattern. Quixote, it was noted, initiated the two sequences Sancho concluded; Sancho initiated those Quixote concluded. Sequence #5 was made to fit that pattern by the observation that there was a mutual initiation and mutual conclusion. There is another way to indicate these sequences: the formula changes when the characters are eliminated from the notation. By naming the agents in each sequence (witness/pretender, master/servant, wit/fool, etc.) we underlined the generic roles involved in each sequence, and so made use of the titles, but we can get closer to the form of the sequences if we drop the agents out of the notation. The analysis may be patterned around what can be called the imbalancing element in each sequence. The first four moves can be diagrammed as follows:

1. Duplicity → excused.
witnessed
2. Abuse → criticized.
imposed
3. Foolishness → denounced.
enticed
4. Madness → accepted.
spoken

By aligning the four elements "duplicity," "abuse," "foolishness," and "madness," the analysis comes closer to formal notation. The four elements can be aligned because they share the property of disequilibrium; in other words, they create

imbalance; they are all, in a sense, sins and so are catalytic agents. Each of the four sequences is initiated when a sin is committed and so an imbalance is created.

But, the patterns of the four sequences can be even further formalized. This step is less clear than the last, but it can be taken, nevertheless. The actions in the patterns, the verbs in the notation above, may be aligned. The actions in the four causes are similar--"witnessed," "imposed," "enticed," "spoken." Each verb describes an action of a kind of unveiling. The word is imprecise, but the similarity is real: in each sequence a sin is unveiled to cause the sequence. In the same way the verbs in the four effect columns describe similar actions. In this case the action is a kind of suffering. Each sequence is concluded by the sin being suffered: duplicity is excused, abuse is criticized, foolishness is denounced, madness is accepted. A (very) formal notation can be used to describe the first four sequences. Let $x = \text{sin}$; let $f =$ the action of unveiling; and let $g =$ the action of suffering; and the formula for each of the first four sequences is the same: $f(x) \rightarrow g(x)$.

The analysis has brought us a long way from the language of the text and a long way from ordinary critical language. In fact, I am afraid the reader has thrown up his hands at the idea that such pseudo-mathematics has any relationship to Cervantes's marvelous narrative, but I want to continue with the analysis. I think the analysis does enable us to see a

structure in the chapter. When we look at the fifth sequence we can see a symmetrical pattern formed by the atomic sequences in this chapter.

Once the formula $f(x) \rightarrow g(x)$ has been proposed, it can be seen that the fifth sequence is unlike the other four. There is no sin in a "reconciliation"; it seems there is (to continue the pseudo-mathematics for a few moments more) no x in that final sequence. If we remember that this fifth sequence concludes the series of sequences, however, we can find a different kind of sin and propose a formula that describes the whole chapter formally and helpfully. What is the imbalancing agent in that fifth sequence? Isn't it the sum of all the sins of the four preceding sequences? Quixote and Sancho have sinned against each other: Quixote has been deceitful #1, #3, abusive #2, and mocking #4; Sancho has been critical #1, #2, foolish #3, and mad #4. The four sequences thus function together as an act of unveiling. The fifth sequence completes the series of sequences because it is an act of suffering: the two friends agree to accept and forgive each other's sins. A fairly simple formula can be proposed to describe the chapter in symbolic notation:

$$\begin{array}{l} 1. f(x) \rightarrow g(x) \\ 2. f(x) \rightarrow g(x) \\ 3. f(x) \rightarrow g(x) \\ 4. f(x) \rightarrow g(x) \end{array} \left. \vphantom{\begin{array}{l} 1. \\ 2. \\ 3. \\ 4. \end{array}} \right\} \quad 5. f(x') \rightarrow g(x')$$

$$\text{where } x' = 4f(x)$$

Now, whether or not my reader finds the symbolic notation satisfactory, I hope he is persuaded that it at least

approximates the actual structure of the narrative in this chapter. Certainly, an analyst with a better grasp of mathematics and mathematical formulas would find a more elegant way of expressing the analysis. For my purposes, however, the awkward notation above will serve. The point is that Sancho's "character" is not part of the narrative formula. The narrative is structured by a series of actions in which Sancho has no set role to play. He performs in each sequence, but in each sequence his performance is very different. He is a witness in #1, a servant in #2, a fool in #3, a madman in #4, and a friend in #5. And, it is not accurate to say that Sancho's character is some synopsis of these roles. The final analysis above reveals that the "character" of Sancho Panza is simply not an element in the narrative formula that describes the operation of the first-order, atomic sequences in this chapter. Sancho's "character" is, instead, a secondary embodiment of a system operating beneath the level of "character." Consequently, Sancho's "character" cannot be described easily. He acts differently in each sequence. In fact, the symbolic notation describing the structure of the narrative suggests what I believe is the truth: Sancho's "character" is no stable entity. v

Although I will carry the investigation further in the next section, to analyze Sancho's actions in the second-order, episodic sequences, I will say here that this is my explanation for the contradictory understandings in Cervantine

criticism of Sancho's "character" in the novel. The reason "Superficial Tradition," Rene Girard, Salvador de Madariaga, and John J. Allen (and others) finds such different Sancho Panzas in Don Quixote is because there are so many different Sancho Panzas in Don Quixote. At times Sancho can be a "realist": in sequence #2 he says "I'd be better off going home..." His "realism" is not, however, a fundamental essence in his character; it is a reflection of the narrative formula which at that moment requires "realism" to complete the action of the atomic sequence. The sequence needs at that point an act of suffering. Two sequences after Sancho performs as a "realist" he performs as a "madman": in sequence #4 he says it has been "twenty years and three days" since the trip began. Again, his "madness" is not some fundamental essence in his character. His "madness" in this sequence is a function of the demands of the narrative formula which require at this point an act of unveiling. Sancho Panza has no single role to play or single psychology to manifest in these first-order sequences. Readers who attempt to describe the character of Sancho Panza will naturally contradict one another because what they are describing is not a single "character"; what they are describing is a complex of functions.

This conclusion is not new. Barthes observes in S/Z: "In narrative...the discourse, rather than the characters, determines the actions."¹⁷ But, the application of this

truth to Don Quixote is new and gives us a different understanding of the most famous sidekick in literary history.

If the evidence is not conclusive, it is because the sample examined here (one chapter) is a small fragment of the whole text. The question becomes, "Does Sancho's character seem less complex if we look at longer sequences, larger fragments, of the text?"

3. The Episodic Sequences

A different way to analyze the text (different from the word-by-word, sequence-by-sequence, method of the previous section) is to examine the narrative for repetitive structures. If a repetitive structure can be found and a formula proposed to describe that structure, the analyst can move through the text at a speed a little faster than the "slow-motion" (Barthes's phrase)¹⁸ of the sequence-by-sequence method. Repetitive structures and a formula describing them can be found in Don Quixote if we move up from the atomic sequences to the longer, episodic sequences.

A catalogue of all the atomic sequences will probably never be compiled. There are simply too many atomic sequences (if five is the average per chapter, there are more than six hundred in the novel) and they do not seem to repeat in any significant way. Although it can be argued that these sequences are the fundamental units in the chronology in Don Quixote, in critical practice these sequences are usually ignored. In critical practice the fundamental units of the narrative are usually considered to be the "episodes."

There is no catalogue for the episodes, either, but it would not be difficult to compile one. An implicit catalogue already exists. Certain sequences have taken on titles and come to be considered separate entities: "The Dubbing," "The Windmills," "Mambrino's Helmet," "The Enchanted Dulcinea",

"The Parliament Of Death," "Sancho's Governorship," and others. It would be difficult to write a formal definition of "episode" flexible enough to contain a unit as short and direct as "The Windmills" (lasting a third of a chapter) and a unit as long and involved as "Sancho's Governorship" (lasting several chapters), but a definition is not necessary. We can leave the term as it has been operationally defined: the "episodes" in Don Quixote are those sequential units considered and called "episodes" by practicing critics.

Broadly speaking, we can say that there are three kinds of second-order sequences in the novel: the episodes, the interpolated tales, and the interludes of dialog like II, 27. Neither the tales nor the interludes, Brennan's and Criado de Val's arguments notwithstanding, get the critical attention given the episodes. The reason is that the episodes generate the most narrative energy. The tales, except for "The Curious Impertinent," are the most forgettable parts of the book. The interludes of dialog, usually between Sancho and Don Quixote, are memorable but, from the point of view of the narrative, secondary. The arguments, exchanges, and commentaries of the two main characters are almost always generated by an episodic sequence.

Although it is difficult to describe the episodes by definition, it is possible to suggest a formula for their narrative structure. In this section I will suggest such a

formula, examine how the formula relates to Cervantes's use of his characters, and finally return to the question: What are Sancho Panza's functions in Don Quixote?

Propp's approach to the folk tales is again a useful model. In his Morphology Propp replaces character description with a description of what he calls the "spheres of action." He observes that certain kinds of characters perform similar functions in tale after tale. The "functions unite into certain spheres."¹⁹ He lists the villain, the donor, the helper, the sought-for person, the dispatcher, the hero, and the false hero. With Don Quixote it is not possible to make the kind of definitive statements Propp makes about the folk tales ("All fairy tales are of one type..."), but it is possible to argue for the following limited description:

Most of the episodes in Don Quixote follow the same narrative structure and use no more than four spheres of action.

The narrative formula almost declares itself once the spheres of action are recognized. They are, in descending order of frequency, the quixote, the victim, the bystander, and the manipulator.

The quixote is the character (or characters) who, because he is deluded and believes someone or something is what he, she, or it is not, becomes the catalytic agent and sets the episode into motion. The quixote creates the imbalance, the disequilibrium, which generates the sequence. Don Quixote himself, of course, usually fills this sphere of action. In

"The Windmills," for example, he charges the mills because his deluded mind thinks they are giants. In "The Curious Impertinent," one interpolated tale which shares the structure of the episodes, Anselmo plays the quixote: his special form of delusion leads him to believe that Lothario's friendship and Camila's love for him will resist temptation and he sets the story into motion by challenging their loyalty to him. It is the quixote's aggression which gives the sequence its impetus and energy. The quixote is the figure who challenges, insults, injures, threatens, attacks, tests, and victimizes other characters.

The victim is the character whose function it is to absorb the energy created by the quixote: the victim is the figure who is injured, insulted, attacked, tested, and so forth, by the sequence. In the simplest and briefest sequences, the victim simply succumbs to the quixote's charge: in "Mambrino's Helmet," for example, the barber abandons his basin when Don Quixote runs at him and the sequence is completed. In many sequences, however, the victim is capable of retaliation and the length of the episode is, formally speaking, doubled: in I, 15, Quixote, believing he is "worth a hundred," slashes at the Yanguesans who return his blows and knock him senseless. It is the quixote's energy which sets both sequences into motion; in the second sequence, however, his energy is turned against him: he is the ultimate victim of his aggression. "The Windmills" actually

works by the formula $Q \rightarrow V \rightarrow Q/V$. Don Quixote charges the windmills in quixotic aggression and is knocked for a loop as the windmills (acting, from the point of view of the narrative, as a character here since they fill the sphere of action of the victim capable of retaliation) turn his energy against him.

The relationship between these first two spheres of action, and the fundamental structure of the episodes, can be simply, but accurately, formalized as $Q \rightarrow V$. In the episodes in which the victim retaliates against the quixote so that he, too, is injured, insulted, or otherwise victimized in the sequence the relationship can be formally described as $Q \rightarrow V \rightarrow Q/V$. Here the arrow is a better symbol than it was in the atomic sequences because it represents, sometimes literally, Quixote's lance. The quixote tilts the narrative into action by tilting at the windmills, the barber, the Yanguesans, and all the rest.

The bystander is the third sphere of action: in this role the character witnesses the confrontation between the quixote and the victim and (usually) tries to interfere. The bystander's sphere generates narrative by delaying or amplifying the action. Quixote declares the windmills giants and readies himself for the tilt while Sancho, playing the bystander, tries to prevent the collision. "But look, your Grace," he says (p. 63), "those are not giants but windmills, and what appear to be arms are their wings which, when whirled

in the breeze, cause the millstone to go." Lotario (who plays both bystander and victim--capable of retaliation--in "The Curious Impertinent") argues with Anselmo for several pages that he should not test his diamond of a wife. The curate and the barber play the role of bystander in several episodes; they are always trying to prevent Quixote from victimizing himself. Whereas the quixote's contribution to the narrative is a kinetic force, the bystander's contribution is a kind of static force: the bystander's sphere creates narrative by interrupting and rubbing against the quixote.

The bystander's sphere is an auxillary role; it is not absolutely necessary to the sequence. Without Sancho there, Don Quixote would still have charged the windmills and hurt himself. Sancho's presence in the scene, and his performance as bystander in so many of the episodes after Quixote's solo first sally, gives the narrative extra energy. It is worth noting that the bystander seldom succeeds in his efforts to prevent $Q \rightarrow V$ or $Q \rightarrow V \rightarrow Q/V$. The discourse's "instinct for preservation" dictates this: if the bystander succeeded often enough and managed to prevent the quixote from victimizing his adversaries and himself, the bored reader would clap the novel shut with a resounding bang. Cervantes knows well enough that he cannot let the bystander succeed: it is a rare moment when Sancho or anyone else convinces Quixote not to tilt at his adversary. The bystander's

presence in the narrative formula can, therefore, be illustrated by brackets. The bystander imposes himself into the sequence, but he does not stop it from running its course. Thus we have in episodes containing a bystander the formula $Q \rightarrow [B] \rightarrow V$ or $Q \rightarrow [B] \rightarrow V \rightarrow Q/V$.

Finally, the manipulator also plays an auxiliary role. It is this figure's function to tempt, entice, encourage, trick, and lead the quixote into action so that his own (the manipulator's) purposes will be served. The manipulator uses the quixote's delusion and aggressive tendencies to his own ends: the manipulator activates the quixote. The Duke and Duchess are, of course, the most obvious manipulators. Time after time, in what may be considered one long episode, "Quixote's Stay At The Duke And Duchess's" or a series of episodes, the two manipulators arrange situations so that Don Quixote will tilt at adversaries. Since the quixote is a character who by his nature is almost always willing to tilt at "foes," it is difficult to understand the manipulator's contribution to the narrative. Don Quixote does not have to be catalyzed; his quixotism by itself is enough to send him into action. Perhaps the reason some readers find the Duke and Duchess episodes tedious and annoying is because the narrative formula is unsuccessful. The manipulator's presence does not supply enough energy to the sequences. In any case, the formula can be represented as $[M] Q \rightarrow V$.

Two episodes in which the manipulator is a successful addition to the narrative formula are worth examining. They are "The Galley Slaves" episode (I, 22) and "The Enchanted Dulcinea" episode (II, 10).

The manipulation Gines de Pasamonte and the other prisoners perform in I, 22 expands the narrative in an interesting way. The galley slaves realize quickly Quixote is deluded enough to have the sympathies they can use to their own ends and so they each tell their thumbnail autobiographies. The sequence might have been much shorter: Quixote might have declared the prisoners unfairly imprisoned and charged the guards as immediately as he declares the basin a helmet and charges the barber. The narrative delay caused by the galley slaves' manipulation of the quixote is a welcome variation to the narrative formula, however. While we anticipate Don Quixote's attack--we suspect he will attack the guards, and so there is an anticipatory tilt in the sequence, as soon as he stops the train--we have the prisoners' tales to enjoy. The manipulation in this case allows the sequence to include other sequences: the narrative unfolds into a sequence of sub-narratives. The sub-narratives are not required by the episodic sequence; for that we only need Don Quixote and the guards who will be his victims, forced to give up what they have been guarding. The prisoners contribute in another way to the episode, too. They make the guards capable of

(indirect) retaliation and so the formula for this sequence is $[M] Q \rightarrow V \rightarrow Q/V$. The prisoners manipulate the quixote into action against the guards; the quixote charges; the guards are victimized and release the prisoners; the prisoners turn against the quixote who, thus, becomes the ultimate victim of his aggression.

Perhaps the best-known and most aesthetically-satisfying act of manipulation in the novel is Sancho's in "The Enchanted Dulcinea" episode. This is a good sequence to analyze because it is only with care that the formula can be shown to be structuring the episode.

The sequence takes place on the road to El Toboso. Sancho is in difficulty because he has lied to Quixote earlier and told him he had delivered Quixote's declaration of love to the Dulcinea. Now Quixote orders Sancho to bring the beautiful lady to him. Sancho invents an ingenious trick to escape detection: he points to three peasant girls coming along on jackasses, describes them as the Dulcinea and her handmaidens, and when Quixote declares that he can see nothing but three peasants, Sancho pretends he is shocked, exclaiming "By the living God, I would tear out this beard of mine if that were true!" Continuing the act, he throws himself at the confused girls' feet to introduce "Dulcinea" to the knight. In a moment Quixote has done as Sancho anticipated: he kneels next to Sancho and unifies the disparity between what he sees and what Sancho says is there by observing that once again

the enchanters are tormenting him, this time by robbing him of the sight of his mistress. The three girls believe the two men are mocking them and, in a moment or two, manage to escape the pair after the "Dulcinea" leaps onto her jack-ass in an unladylike manner.

Madariaga and other readers have argued that it is Sancho who "enchants" the Dulcinea and that in this scene Sancho plays Quixote's role. Our approach allows us to observe that that analysis is not correct. From the point of view of the narrative Sancho does not actually "cross" paths with Quixote in this scene. He does not play the quixote; he is the manipulator. As usual it is Don Quixote who is the essential agent. Sancho's role is to arrange the scene so Quixote can go into action. Sancho's description of the Dulcinea and his act is only superficially like Quixote's quixotism: he acts as he does only to lead Quixote into action. It is Quixote's energy that supplies the kinetic force to the episode. Quixote is essential to the narrative structure; Sancho is not. Sancho alone could not have created the imbalance necessary to the sequence; it is only because Quixote is there with him that he confronts the three girls. Don Quixote, on the other hand, could have "enchanted" the Dulcinea without any coaxing--in the way he turns two flocks of sheep into two armies. It is only because of Quixote's madness that Sancho plays his superficially quixotic role (describing the Dulcinea, throwing himself at her feet,

and so forth). His imitation of Quixote is a different kind than Quixote's imitation of Amadis.

"The Enchanted Dulcinea" episode makes an interesting sequence to examine, however, because at first glance it does not seem to fit the formula proposed. There are two problems: first, it is not clear, if we call Quixote (and not Sancho) the principal agent in the sequence, who plays the victim; second, there seems to be no act of aggression like the quixotic challenges, insults, injuries, and attacks listed earlier as the function of the quixote. The sequence seems to be a scene where Don Quixote attempts only to prostrate himself before his beloved.

If we look at the sequence from the point of view of the narrative again, however, it is possible to find the formula operating. The difficulties come about because at first glance we look at the scene from Quixote's mad point of view. It is only in quixotic delusion that there can be a qualitative distinction between the kind of act he performs here and the kind of act he performs in, for instance, the "Mambrino's Helmet" episode. In his delusion the first is an act of love and the second an act of aggression. To the victims, however, both acts are acts of aggression: the barber is robbed of his basin; the peasant girls are insulted by two "smallfry gentry." The only distinction between the two actions is that one is physical abuse and the other mental abuse. The arrow of confrontation in the formula represents,

from the point of view of the narrative, the same kind of narrative element in both sequences: the quixote imposes himself and his madness upon innocent victims.

As in the "Galley Slaves" episode the victims in this sequence are capable of indirect retaliation: in both episodes the quixote is the ultimate victim of the tilt of disequilibrium. The peasant girls retaliate by not playing the roles Don Quixote assigns them: their breath smells like garlic, they are ugly, the "Dulcinea" refuses to allow Don Quixote to help her back onto her mount, she leaps astride her jackass in a most un-Dulcinea-like fashion. The injury this causes Quixote remains with him and is at least as painful as the stoning he receives at the hands of the galley slaves: the "Dulcinea's" grotesqueness and unladylike behavior is a part of his dream in the "Cave of Montesinos" (II, 22).

The narrative formula, therefore, can again be written as $\left[M \right] Q \rightarrow V \rightarrow Q/V$. Sancho manipulates Quixote into an act of aggression against the peasant girls who, in turn, victimize Quixote by being ugly and refusing to play his game. Once again, the imbalance created by Quixote's delusion and aggression is liquidated when Quixote is injured.

Although sometimes the analysis must be carefully done before the formula $Q \rightarrow V$ and its variations can be found structuring the episode, it is true that that formula is a fairly accurate symbolic description of most of the episodes

in the Quixote. There are some exceptions: "The Cave Of Montesinos," a unique and odd episode in several ways, does not depend on a quixotic aggression or victimization.

"Sancho's Governorship" (to be discussed in a few moments) is another exception. Still, $Q \rightarrow V$ and its variations is, from the point of view of the narrative, the formal structure of the episodic sequences.

Does the proposal of the formula and the charting the formula makes possible change our understanding of Sancho's role in the novel? Can we be any more precise in describing Sancho's role when we move up from the examination of the atomic sequences, the moves, to an examination of the episodic second-order sequences?

Sancho Panza is used by Cervantes in the second-order sequences, the episodes, just as he is used in the atomic sequences: Sancho is no consistent "character"; he is, instead, a character who can perform in each of the four spheres of action. Sancho is, then, in the second-order sequences what he is in the first-order sequences: he is a narrative element Cervantes can use in any position. Sancho can perform in whatever sphere of action the particular episode requires. In "The Enchanted Dulcinea" he is the manipulator. In "The Windmills," "The Armies of Sheep" (I, 18) "The Adventure of the Lions" (II, 17), and in several other episodes, Sancho plays the bystander: he amplifies, underlines, and delays the unfolding of the sequence by trying to warn

Quixote of his delusion ("The Windmills"), begging him to control himself ("The Armies of Sheep"), and even weeping in anticipation of Quixote's action and injury ("The Lions"). Sancho plays the victim also. Sometimes, although not as often as one might guess, he is the direct victim of Quixote's aggression: Part II, Chapter 60 contains one of the few sequences in which Don Quixote directs his attack at Sancho. Sancho has been lax in applying the lashes to his back that are supposed to disenchant the Dulcinea and Quixote leaps at his servant while Sancho is sleeping. Cervantes has for 112 chapters saved the ironic twist he inserts into the narrative at this point: Sancho can defeat Quixote in hand-to-hand combat! He returns his master's blows and pins him to the ground. The formula is, of course, $Q \rightarrow V \rightarrow Q/V$.

Sancho plays the victim in the episodes more often in a different way: he is Quixote's co-victim. Quixote initiates an action against a victim capable of retaliation ("The Yanguesans" I, 15 "The Galley Slaves" I, 22) and both he and Sancho are injured in the end. Sancho plays the role so often it might even be argued that the role should be considered a separate (and fifth) "sphere of action." Only once, however, does Cervantes use Sancho in this way to create a real variation of the usual formula. In "The Blanketing" episode (I, 17) Quixote insults the landlord of the inn and refuses to pay for the night he and Sancho have spent there. The landlord is a victim capable of retaliation (although the

text does not make it absolutely certain that the landlord arranges for the blanketing), but only Sancho is punished; Quixote escapes. The formula is, then, not exactly $Q \rightarrow V \rightarrow Q/V$: only one member of the pair is injured in the final action. It should be pointed, however, that this is one episode in which Sancho plays the quixote: he too--in imitation of his master--refuses to pay for the night, thus sharing in the act of aggression.

Ordinarily, when Sancho plays the quixote it is as in "The Blanketing" an imitation. Sancho joins Quixote in a deluded act of aggression (in "Mambrino's Helmet" he steals the barber's saddle after Quixote has routed the victim.) We see Sancho in independent quixotic action only rarely. Perhaps the scene at the start of Part II in which Sancho explains to his wife that he is planning to sally forth again (II, 5) can be considered an episode in which Sancho is the Q in an action in which Teresa is the V (she is deserted).

"Sancho's Governorship" is a long sequence which forms, it seems, the largest exception to the rule of narrative formula I have been proposing. John J. Allen in his article "The Governorship of Sancho and Quixote's Chivalric Career" has pointed out that two themes, the theme of the discreto-tonto (the wise-fool) and the theme of the burladores-burlados (the mockers-mocked), play an important part in the episode of "Sancho's Governorship." Allen argues (in that article and

21
 elsewhere) that the emergence of these themes is a sign of the decreasing distance between the "implied Cervantes" and his two heroes. Allen, like Madariaga and others, believes Don Quixote contains a progression: Cervantes moves from the sheer satire in Part I to a more sympathetic presentation of Quixote and Sancho in Part II. The methods we have adopted allow us to observe that "Sancho's Governorship" is a radical departure from the earlier episodes. For the episode to include the themes of the discreto-tonto and the burladores-burlados the narrative structure must be unlike the structure of the episodes which depend for their energy on the quixote's aggression.

It is the manipulator who supplies the inertial force to the episode of "Sancho's Governorship": each of the sequences in the "Governorship" depend on the Duke's arrangements and the Duke's actions. Sancho does not actively enter into any engagements as Don Quixote does in the earlier episodes; instead the manipulator leads Sancho into the engagements: the major-domo, the Duke's proxy, leads him into the courtroom and tells him he must make judgments; the soldiers, under the Duke's plan, lead Sancho into the battle. Sancho does not tilt by his own instincts at anyone. Where is the imbalance in the sequence, then? In the $Q \rightarrow V$ and $Q \rightarrow V \rightarrow Q/V$ episodes there is a disequilibrium between what the quixote knows and what the reader knows; the action of the sequence liquidates the imbalance because the quixote

is proven wrong (the windmills are not giants) and the reader (or the narrative) right. The "turn" in the episode is, therefore, either against the quixote's victim or against the quixote. One or both of these figures absorb the energy which generated the sequence. In "Sancho's Governorship", however, the disequilibrium is created by having the manipulator's expectations proven incorrect: Sancho does not make a fool of himself; he is not deceived by any of the courtroom tricks; he is an excellent governor. The sequences in "Sancho's Governorship" end, therefore, not in abuse, as the Q → V episodes end, but in surprise. In these episodes (or episode) Cervantes drops his reader into the story by holding something back from him. Unlike the Q → V episodes the reader is throughout the "Governorship" less informed than the hero; the sequences unfold hermeneutically rather than comically: the reader reads the sequence to learn, to satisfy his curiosity, rather than to laugh. In this way the "Governorship" works like the third-order, novelistic sequences to be discussed in the next chapter.

4. Indices And Functions

At this point, before going on to an examination of the character of Don Quixote, I would like to answer an argument I can imagine being made by a reader not sympathetic to my methods. The argument would run something like this, "Your conclusions about Sancho are as prejudiced as your analysis. You begin by reducing Sancho Panza to a narrative element, limit yourself to an investigation of the syntagmatic structure of the novel, and end by pointing out that Sancho is nothing more than a narrative element in the syntagmatic structure of the novel. Sancho's 'character' disappears under your analysis because you begin by stripping him of it."

This is, at first glance, a strong argument. When the analysis depends so much upon "functions," "spheres of action," and "narrative sequences," which are all "artificial" elements, all obvious creations of the story-teller, it seems the mimetic aspects of the novel are forgotten. Sancho Panza has, of course, seemed to many readers to be more than an artifice; many of us think of him as a real man. (Madariaga believes Sancho, Don Quixote, Don Juan, Hamlet, and Faust²² "are the five great men created by man.") The analyst interested in defending his investigation can ask his unsympathetic reader a simple question, however: What has been left out? What is it exactly that the analysis has taken from Sancho?

A partial list of the characteristics of Sancho which are often mentioned in Cervantine criticism but which have not been included in the analysis done so far would be: his physique, his proverbs, his love for his "gray", his gluttony and his earthly-realism. These qualities of Sancho's "Sancho-ness" have not been arbitrarily or accidentally ignored. They have not figured in the analyses because they are qualitatively different from the syntagmatic functions we have been investigating; they are adjectival elements: Sancho is fat, glib, loyal, gluttonous, and common-sensical. By an argument he makes in "An Introduction To The Structural Analysis Of Narrative" Roland Barthes would call these elements Sancho's indices.

Barthes makes a valuable distinction in that essay between indices and functions. He argues that Propp's Morphology considered only one of the two classes of narrative units. Propp's "functions" are the "distributional" units. These are the units, like the ones we have been considering, whose values are determined by chronological correlates:

The purchase of a gun has for its correlate the moment when it is put to use...; picking up a phone has for its correlate the moment when it is laid down; the intrusion of the parrot into Felicité's house [in Un Coeur Simple] correlates with the stuffing episode, its worship, and so on.²³

The second kind of unit are the "indices" or "indicators."

This kind of unit, Barthes explains,

instead of referring to a complementary and consequential act, refers to a more or less diffuse concept which is nonetheless necessary to the

story: personality traits concerning characters, information with regard to identity, notations of "atmosphere," and so on. The relation between the unit and its correlate is no longer distributional...but integrative; in order to understand what purpose an index or indicator serves, one must pass on to a higher level, for only there can the index be clarified.²⁴

"Functions" are useful, from the point of view of the narrative, because they form the metonymic structure of the tale.

"Indices," on the other hand, are useful because they form the metaphoric structure. "The former are functional in terms of action," Barthes observes, "the latter in terms of being."²⁵

In simple terms Sancho's functions (his acts as victim, manipulator, bystander, and first-order actions as witness, servant, fool, etc.) are what he does; his indices (his fatness, glibness, loyalty, etc.) are what he is.

Barthes would argue, presumably, that if we could tabulate all of Sancho's functions and all his indices we would tabulate all there is to Sancho, we would describe all there is to "Sanchoiness." I would argue that such a list is theoretically possible; the one real difficulty would be the tabulation of all Sancho's functions in the first-order, atomic sequences (there may be more than six hundred of these and, as far as I can tell, there is no formulaic repetition on this level of the narrative). I have argued that the four spheres of action in the episodic sequences are almost all the functions Sancho performs on this level of the narrative. (The "Governorship" would have to be analyzed to complete the list). Sancho

also performs in the third-order sequences, the novelistic sequences, to be examined in the next chapter. But, the partial list we can make already of Sancho's functions is enough to make a point:

Functions of Sancho

performs in atomic sequences as:
witness, servant
fool, madman, friend
etc.

performs in episodic sequences as:
quixote, manipulator,
victim, bystander,
etc.

Indices of Sancho

fatness
glibness
loyalty
gluttony
common-sense
etc.

A reader arguing that the analysis has ignored Sancho's essence, that it has reduced him to a narrative element, would be forced, I think, to point to Sancho's indices as the essence of Sancho. But which of these two columns (if we must choose one or the other) describes Sancho's essence, Sancho's "Sanchiness"?

If we look ahead in literary history to Moby Dick, Madame Bovary, Middlemarch, and The Great Gatsby it seems the left-hand column, the list of functions, is the common denominator that marks other Sancho figures. The Sancho-figures in those four novels are Sancho-figures, I will argue in my last chapter, because they perform the functions in those novels that Sancho performs in Don Quixote. In each novel Sancho-figures fill the syntagmatic spaces in the narrative structures in the ways Sancho fills the spaces in his narrative. Starbuck

in Moby Dick and Celia Brooke in Middlemarch are Sancho-figures because they function as bystanders, pleading with the quixote to restrain his aggression; Rodolphe Boulanger in Madame Bovary is a Sancho-figure because he acts as a manipulator, using the quixote's aggression to his own ends; Nick Carraway in The Great Gatsby is a Sancho-figure because he acts as a bystander, warning Gatsby that "You can't repeat the past," and as a co-quixote, arranging for Gatsby's reunion with Daisy. All of these will be examined in detail in the fifth chapter. My point here is that the actions of Sancho the methods adopted have allowed us to observe are actions worth observing.

The reader interested in proving Sancho's essence is made of his indices would have to find some other way to measure "Sanchoness." He could find some other Quixotic Novels in which the Sancho-figures are identifiable by their glibness or fatness. Or, he could argue that Sancho's "Sanchoness" need not be what he gives to literary history.

However, I do not think it is necessary to deny the importance of Sancho's indices to prove the importance of Sancho's functions and the usefulness of the methods adopted here. Sancho's functions are what mark Nick Carraway, Celia Brooke, and the others as Sancho-figures in The Great Gatsby, Middlemarch, Moby Dick, and Madame Bovary. If the

connection between those Sancho-figures and the original Sancho-figure is worth making, then the analysis in this chapter is useful.

NOTES

1. Lowry Nelson, for example. See his "Introduction," in Cervantes: A Collection Of Critical Essays, ed. Lowry Nelson, Jr. (Englewood Cliffs, N. J.: Prentice-Hall, 1967), p. 4.
2. Ivan Turgenev, "Hamlet And Don Quixote," trans. William A. Drake, The Anatomy Of Don Quixote: A Symposium, ed. M. J. Bernardette and Angel Flores (Port Washington, N. Y.: Kennikat Press, 1969), pp. 98-120.
3. René Girard, Deceit, Desire, And The Novel, trans. Yvonne Freccero (Baltimore: Johns Hopkins Press, 1965), p. 4.
4. Ibid.
5. Salvador de Madariaga, "Don Quixote": An Introductory Essay In Psychology (London: Oxford University Press, 1961), p. 121.
6. Ibid., p. 137.
7. Ibid., p. 145.
8. John J. Allen, "The Governorship Of Sancho And Quixote's Chivalric Career," (unpublished manuscript), p. 19.
9. Ibid., pp. 3-4.
10. Criado de Val, "Don Quixote como dialogo," Anales Cervantinos (V, 1953-56), pp. 183-208.
11. Gerald Brenan, "Cervantes," Cervantes: A Collection Of Critical Essays, p. 20.
12. "The members of the squadron, however, were satisfied to see him take flight like this and did not fire upon him. As for Sancho, as soon as he had somewhat recovered his senses, they placed him upon his mount and permitted him to follow his master. ...When he was a good distance away, Don Quixote turned his head and, perceiving that Sancho was coming and that no one was in pursuit, stopped to wait for him..." (p. 693).
13. Erich Auerbach, Mimesis: The Representation of Reality In Western Literature, trans. Willard R. Trask (Princeton: Princeton University Press, 1953), p. 354.

14. Putnam points out this repetition in his notes to Chapter Twenty-eight. Oddly, his English version is not as close as the original: "ahorcado" is translated first (Chapter Twenty-five, Part I, p. 206) as "gallows bird" and in Chapter Twenty-eight, Part II as "hanged man." The repetition is clearer in the Spanish: "...pues no se ha de mentar la sogá en casa del ahorcado." (I, 25) and "Y ¿donde hallastes vos ser bueno el nombrar la sogá en casa del ahorcado?" (II, 28).

15. John Holloway, "Supposition And Supersession: A Model Of Analysis For Narrative Structure," Critical Inquiry (August, 1976), p. 40.

16. Ibid.

17. Barthes, S/Z, p. 18.

18. Ibid., p. 12.

19. Propp, Morphology, p. 72.

20. Allen, p. 13.

21. See Allen, "The Narrators, The Reader, And Don Quixote," MLN (91), pp. 201-212, and Don Quixote: Hero or Fool? (Gainesville, Fl.: University of Florida Press, 1969).

22. Madariaga, p. 106.

23. Barthes, "An Introduction To The Structural Analysis Of Narrative," p. 246.

24. Ibid., p. 247.

25. Ibid.

CHAPTER FOUR
THE CHARACTER OF DON QUIXOTE
AND THE DISCOURSE OF DON QUIXOTE

1. Character And Discourse

Toward the end of the story "Sarrasine" the castrato La Zambinella tries to tell the sculptor the truth (he is not a woman). The sculptor will not listen. "I cannot stop you from coming to the theatre," La Zambinella says, "but if you love me or if you are wise, you will come here no more. Listen, monsieur--" "Oh be still," says Sarrasine. Barthes's analysis of this exchange is worth citing at length. He entitles it "Character And Discourse":

Sarrasine interrupts La Zambinella and thereby arrests the appearance of the truth. If we have a realistic view of character, if we believe Sarrasine has life off the page, we will look for motives for this interruption (enthusiasm, unconscious denial of the truth, etc.). If we have a realistic view of discourse, if we consider the story being told as a mechanism which must function until the end, we will say that since the law of narrative decrees that it continue, it was necessary that the word castrato not be spoken. Now these two views, although derived from different likelihoods and in principle independent (even opposed), support each other: ...Sarrasine is impassioned because the discourse must not end; the discourse can continue because Sarrasine, impassioned, talks without listening...From a critical point of view, therefore, it is as wrong to suppress the character as it is to take him off the page in order to turn him into a psychological character...: the character and the discourse are each other's accomplices: the discourse creates in the character its own accomplice...¹

This is an important extension of the argument Barthes makes earlier in S/Z when he points out that the discourse

has a certain "instinct for preservation." There he is emphasizing the generative force of discourse; here he is conceding something not always conceded by the structuralists: the fictional character is not necessarily only a node in the discourse, a product of combinations, or "a magnetic field for the semes"; character can have a certain independence. The fictional character can be the producer of narrative discourse (in a sense); the character can generate discourse and so, to a certain extent, structure the text.

This is the case with the character of Don Quixote. His relationship to the discourse is essentially different than Sancho Panza's relationship. Sancho's character, I have argued, is controlled by the necessities of narrative formulas: he is mad when the narrative formula requires madness, common-sensical when the formula needs a character speaking common sense, and so on. Don Quixote's character, on the other hand, exists "outside" or "before" the narrative formula; his character, to an extent, structures the novel.

I am not trying to draw an absolute distinction here. There are many times when Don Quixote's character is controlled by the narrative's needs in exactly the way Sancho's character is controlled. (In II, 28, the chapter analyzed above, Don Quixote is just as flexible as Sancho.) In those moments Don Quixote's character is serving the discourse's

"instinct for preservation," he is the subordinate accomplice. In other moments, however, the discourse is the subordinate accomplice: it goes in a certain direction because Don Quixote is a quixotic hero.

The two sections that follow are attempts to describe the relationship between Don Quixote, the character, and Don Quixote, the discourse. One is a practical approach to the problem; the other is a more theoretical approach.

In Section 2, below, the third kind of narrative sequences are examined: what I call the novelistic sequences. Although each episode in the novel, and each sequence, can be examined independently, the novel is not a string of beads, a series of episodes lined up one after another. There is a sense of continuity in the novel. This continuity is created by the novelistic sequences. They are the hardest of the three kinds of sequences to analyze.

The progression up the scale of these narrative sequences, from the atomic sequences of cause and effect to the episodic sequences of $Q \rightarrow V$ and $Q \rightarrow V \rightarrow Q/V$ to the third level of novelistic sequences, is a progression toward increasing length and flexibility. The first-order sequences are short and tightly structured: a question and an answer; an offering of reconciliation and an acceptance of the offer, etc. The tilt of disequilibrium is brief: the reader barely feels his curiosity aroused (though it is aroused) as Sancho asks Quixote to explain why he fled the brayers and the reader

barely feels his curiosity satisfied (though it is) when Quixote finds his excuse, "He who retires does not flee..." It is easy for the analyst to trace the outlines of the sequence and to point to its beginning and end.

Analysis of the second-order sequences is more difficult. They are looser and longer. The windmill sequence, for example, does not actually end at the moment the quixote is victimized--as the windmill's arms clobber the knight on the head. Quixote's explanation of the defeat, "Such are the fortunes of war...", is certainly part of the sequence. The length of the episodes makes them harder to analyze, too: is "Sancho's Governorship" (several chapters in length) part of the episode of "Don Quixote and Sancho's Stay At The Duke and Duchesses's"? It is not so easy to delineate the boundaries of the sequences because there is not a single cause and a single effect. The formula $Q \rightarrow V \rightarrow Q/V$ is only the skeleton of the sequence. Don Quixote in his madness sees the windmills as giants, declares he will charge them, is warned by Sancho, charges anyway, gets clobbered, is admonished by Sancho, reflects upon the defeat, etc. Also, of course, these second-order sequences are not wholly independent of each other or the rest of the narrative. They are often interconnected and, as in the case of "The Governorship" and "The Duke And Duchess" episodes, difficult to separate.

There are five novelistic sequences, as far as I can tell, the madness sequence, the psychology sequence, the

hero/fool sequence, the partners sequence, and the self-conscious narrator sequence. Tracing any of these from start to finish would require a very long and, I think, tedious demonstration. Here I will instead examine only how each sequence is introduced into the narrative. Section 2 below is a running commentary on the first eight chapters of the novel.

In S/Z Barthes breaks the text into fragments he calls "lexias". "The commentary," he explains,

based on the affirmation of the plural, cannot ...work with "respect" to the text; the tutor text will ceaselessly be broken, interrupted without any regard for its natural divisions (syntactical, rhetorical, anecdotic)...the work of the commentary...consists precisely in manhandling the text, interrupting it.²

Barthes comments on the whole text, going lexia by lexia through the entire text of "Sarrasine." I have modified this method below and chosen only certain passages for commentary. I am trying to focus on the syntagmatic structure of the novel. My reader may want to follow my commentary by referring to the complete text.

The last section below is the theoretical one. There I have tried to present a "preliminary sketch" of the "model" of Don Quixote. I argue there that there is a certain "fit" between character and discourse and that we can come interestingly close to describing the "deep structure" of the novel by observing how the character of Don Quixote fits into the structure of narrative sequence.

2. Interrupting The Text: 34 Lexias

1. In a village of La Mancha...(p. 25). The first few sentences of the narrative describe what Propp would call "the initial situation":

A tale usually begins with some sort of initial situation. The members of a family are enumerated or the future hero is introduced. Although this situation is not a function, it nevertheless is an important morphological element.³

Propp does not explain why he thinks the initial situation is important, but it seems that the narrative must mark the line of equilibrium before moving forward into disequilibrium. The narrative's forward motion depends on imbalance, on things being out of kilter. The reader reads on partly because he has been made uneasy by the loss of equilibrium. The initial situation is drawn so that the reader and the hero will share an understanding of the state of equilibrium to which the narrative must return them: a gentleman living in La Mancha with a housekeeper, a niece, and a lad of the field and market place. As several commentators have pointed out, the lad disappears from the text after his appearance here. To the second-time reader, the reader capable of seeing the text in reverse, the lad's appearance is the first piece of evidence in the text that Cervantes is discovering the form of the novel as he writes it. To the first-time reader, however, the lad of the market place represents part

of the stability the madman loses by his madness and so is part (at least unconsciously) of the reader's sense of equilibrium.

2. In short, our gentleman became so immersed in his reading that...he went completely out of his mind. (p. 27) This is the beginning of the first, and most important, novelistic sequence. A state of disequilibrium is announced-- Quixote is "out of his mind" and the novel is therefore set into motion. This first sequence, the madness sequence, encompasses the entire two-volume, one thousand-page novel.

3. It now appeared fitting and necessary...to become a knight-errant. (p. 27) Quixote's madness is qualified. It is interesting that it seems not enough for the narrator to declare a state of disequilibrium ("...he went completely out of his mind,") for the narrative to have momentum. The narrator must channel that energy generated by the imbalance in a certain direction: Don Quixote's madness must be made a particular madness. It would not do (or, at least, it would be much more difficult to generate chronological episodes) if Don Quixote were simply "out of his mind," depressed one day, manic the next, role-playing one day, perceptively self-aware the next. It is because his madness is given consistency and specificity that the reader feels that the narrative is moving in a predictable (and therefore orderly) direction. Quixote's knighthood, then, operates as a kind of stabilizing device in the imbalanced state of madness. There is a certain amount of equilibrium in the state of disequilibrium.

4. The first thing he did was to burnish up some old pieces of armor***After this, he went to look for a nag* * *
Aldonza Lorenzo...seemed to him the one to be his mistress.
 (pp. 28-29) With the assembling of the suit of armor, the naming of Rocinante, and the selection of the Dulcinea, Quixote has created what Propp would call in his morphology "the magical agent," the instrument of transformation. The magical powers, however, are given to the narrator: it is Cervantes who benefits from the transformation. Because Quixote has all the accoutrements of knighthood (and is therefore recognized as a knight or a man playing a knight by the characters in the world of the novel), Cervantes can make double use of the chivalric romance: he can use it as a target for satire and he can use it to generate syntagmatic functions (i.e. chronological episodes).

5. He polished and adjusted his armor ...and then he noticed that one very important thing was lacking: there was no closed helmet...His ingenuity, however, enabled him to remedy this, and he proceeded to fashion out of cardboard a kind of half-helmet...True, when he went to see if it was strong enough to withstand a good slashing blow, he was somewhat disappointed; for when he drew his sword and gave it a couple of thrusts, he succeeded only in undoing a week's labor. The ease with which he had hewed it to bits disturbed him not a little, and he decided to make it over. This time he placed a few strips of iron on the inside, and then, convinced it was strong enough, refrained from putting to any further test; instead, he adopted it then and there as the finest helmet ever made. (p. 28)

This short sequence is a significant one. The narrative formula is an embryonic $Q \rightarrow V \rightarrow Q/V$ as the quixote makes his first act of aggression (against the helmet and his own

creation) and ends in victimizing himself (he undoes a week's labor). More importantly, though, the sequence is the real beginning of the second novelistic sequence, the psychology sequence. It is this moment when Cervantes has his hero adopt the untested helmet "as the finest ever made"⁴ that we readers begin to understand the hero has an inside, a psychology. Until this moment Don Quixote is only a figure, a character who has had an illness imposed on him by circumstance. We laugh at him from a distance. Once he reveals his self-awareness here we begin to empathize with him. We start to become interested in his particular personality.

If Don Quixote is the first modern fictional character because he has an interesting and complex psychology, it is this moment when he refuses to test the second helmet that his modernity is established. Claudio Guillén has argued in his essay "Toward A Definition Of The Picaresque" that the picaresque novel is marked by its interest in the dichotomy between inner and outer man:

An inner man (embracing all the richness and subtlety of one's private thoughts and judgments) affirms his independence from an outer man (the patterns of behavior, the simplicity of the social role). The profound division of the hero is, I think, one of the most significant achievements of the picaresque, and perhaps its most significant contribution to the thematics of the modern novel (its shattering of the unity of "dual man," its concentration on the dreams and the thoughts of fictional beings, its unrealistic saturation with inwardness.)⁵

In one way these first two sequences are similar: each depends on an antithesis. The kinetic energy of each sequence is created when an opposition is invoked: in the first sequence madness is opposed to sanity; in the second sequence the inner man (who knows he does not want to waste another week's labor by ruining the second helmet) is opposed to the outer man (who adopts the helmet as "the finest ever made"). The reader reads forward in both sequences with the expectation that the opposition will be dissolved.

In another way, however, these first two sequences are different. The first, the madness sequence, operates in the world of La Mancha: Don Quixote's madness can be witnessed by other characters; he can disturb other characters by his mad acts. The second sequence, the psychology sequence, can be found only if we look into another dimension. The only witness to the opposition between Quixote's inner and outer selves is the reader. Barthes has pointed out (in "An Introduction To The Structural Analysis Of Narrative") that one problem for the structural analyst is "to describe the code through which the narrator's and reader's presence can be detected within the narrative itself."⁶ The narrator's presence has often been examined, he notes: "No doubt the part of the addresser has been abundantly paraphrased...but when it comes to the reader, literary theory shows more pronounced modesty." I submit that the existence of the psychology sequence in Don Quixote is evidence of the reader's

special presence. The narrator (the addresser) can only insert the psychology sequence into the narrative because he is aware of the reader (the addressee). The only witness to the disturbance inside Quixote is the reader of the narrative.

6.he set out one morning. (p. 30) This lexia is another piece of evidence to the second-time reader that Cervantes is discovering the form of the novel as he writes it. It is clear he has not outlined the story in advance. Here he is sending his hero off before he has prepared him properly for the narrative: he has not given him Sancho yet. Without Sancho, as Gerald Brenan has observed,⁷ Don Quixote can only make an abortive First Sally.

7.he suddenly remembered that he had never formally been dubbed a knight, (p. 30). A deficiency is announced and an episode, "The Dubbing," is set into motion. The quixote tilts the episode into action by setting out, aggressively, to find someone to dub him a knight.

As soon as the first-time reader sees that this episodic sequence is self-contained, that it will have a beginning, middle, and end separate from the beginning, middle, and end of the larger narrative, he sees that the chronological progress of the larger narrative will be slow. This first-time reader might even sense the truth: there will be little chronological progress in Don Quixote. Here the rigaramole

Quixote goes through to get dubbed is unnecessary: he has already been dubbed when the narrative pronounced him mad and gave him armor, horse, and mistress. This episodic sequence, then, serves no syntagmatic function outside itself; it functions for its own sake. Of course, it justifies itself and succeeds; "The Dubbing" is one of the best episodes in all of Part One.

Cervantes's narrative success has much to do with his ability to digress. In this place he could have had Quixote immediately encounter Andrés and the farmer (his first post-dubbing adventure) but he saw an opportunity to digress and took it. We can see here that the narrative can contain episodic sequences only as long as it keeps the quixote a madman. The second-order sequences can exist only as long as the narrative keeps the third-order sequence of madness unresolved. Cervantes succeeds because he makes the novelistic progression slow, because he knows the quixote must be kept from sanity.

8. ...[Quixote] summoned the landlord...and fell on his knees in front of him. (p. 36) Quixote's madness transforms the landlord into what Propp would call the donor, the character whose sphere of action includes providing the hero with the magical agent. The passage demonstrates the doubling of voices I mentioned above (#4). Cervantes is able to mock Quixote by pointing out that the man the knight chooses for a donor has "done many wrongs, ruined many maidens," etc.,

and he is also able to use a sequence from the already-read to give the narrative a familiar generic structure. The reader's knowledge of tales with genuine donors and knights enables him to follow the sequence here. Barthes would point out that the actional code used here is the actional code of the chivalric romance.

9. "Until tomorrow morning...I will watch over my armor." (p. 36). With this announcement the quixote declares his aggression (against imagined enemies) and turns an ordinary stay at an inn into the generic sequence from the chivalric romance in which the hero is tested. (The testing of the hero is one of the thirty-one functions Propp finds in his hundred fairy tales.)

This lexia demonstrates again why Don Quixote is a successful character from the point of view of the narrative. His particular madness enables the narrative to digress away from the story of a man who believes in madness that he is a knight into episodes in which a man acts as a knight. Don Quixote imposes the testing of the hero upon himself and so he liberates the narrative from the obligation of developing the story of his madness. The sequence of madness is delayed while we read of the testing of the hero.

10. [The landlord] determined to confer upon Quixote that...order of knighthood...(p. 40) The episode from the code of the chivalric romance ends as the hero is rewarded and the deficiency is liquidated. By another formula, the

episodic formula outlined earlier, the sequence ends as the victim, played here by the landlord, is victimized. So two codes are woven into one sequence here. The actional code of the chivalric romance has its sequence end in the main clause of the sentence, the words above; the actional code of the episodic sequence Q → V ends in the subordinate clause of the sentence. Restoring the words in the ellipses above, we can see the Q → V sequence at work:

The landlord was none too well pleased with these mad pranks on the part of his guest and determined to confer upon him that accursed order of knighthood before something else happened. (p. 40)

The separation of the two clauses is in the original Spanish:

No le parecieron bien al ventero las burlas de su huesped, y determino abreviar y darle la negra orden de caballeria luego, antes que otra desgracia sucediese.

11. The knight heard the faint moans of someone in distress. (p. 42). Another episode begins and, clearly, it is again one adopting the actional code of the chivalric romance. Although the reader knows the "knight" is no knight, the reader can not help having his curiosity aroused as the villainy is announced: we have at this point one eye on the romance and one eye on the satire. The disequilibrium created by the moans of distress is on two levels, then: we are curious to see how the villainy will be resolved (will the someone in distress be saved?) and we are curious to see how the quixote will victimize or be victimized this

time. Because the disequilibrium occurs on two levels, the narrative makes a double promise: equilibrium can only be restored when both levels of the disequilibrium are resolved. The someone must be saved, according to code of the chivalric romance, and the quixote must victimize or be victimized, according to the episodic sequence of the quixotic narrative.

It could be argued that the first-time reader can not be aware of the $Q \rightarrow V$ formula yet because there have not been enough episodes yet for him to get a sense of it. But, the truth is the first-time reader is not consciously aware of any formula operating at all. He knows only that his curiosity has been aroused, that knights in chivalric romances must respond to calls of distress, and that the quixote is no "knight." Knowing these three things, he can be tilted into the sequence; knowing these three things, he will read on. The discourse is preserved because it creates disequilibrium in the reader.

I should admit here that I realize there is probably no longer any such person as "the first-time reader" of Don Quixote. No one living in Western culture in the twentieth century can read Cervantes's novel without having first encountered the story in other versions. All who open this book nowadays know the knight will end up in most confrontations as his own victim.

We can still examine the text for evidence of the presence of "the first-time reader," however. For one thing,

an examination of the text as a pure narrative system cannot be concerned with the text's reputation. Secondly, it can be argued that even the reader who knows the story before he begins pretends to himself that he does not. In S/Z Barthes observes that Sarrasine gains "free will" because the reader "modestly" forgets "the constraint of the dis-⁸course." We forget that Sarrasine really does not have the choice to heed or ignore the Italian's warning: to allow the story to go on, to have suspense, we restrain our analytical judgment. I think this is what happens when we read Don Quixote: we pretend to ourselves that we do not know the outcome of each encounter. We make ourselves curious first-time readers by "modestly" forgetting what we know.

12. "...when I punish him...he says it is just because I am a miser...but I swear to God...that he lies." (p. 42) By the code of the romance the villain tests the hero. By the code of the romance we know that only villains speak this way and forgetting the quixotic narrative (the satire about a man who believes he is a knight) we hope the hero will see through the villain's deception.

13. "It is you who lie, base lout!...Release him at once." (p. 42) By the code of the romance the hero passes the test: he sees through the deception. Here, for the first time, Quixote's role-playing gains our sympathy because we are reading the narrative as a romantic narrative and

know the villain deserves to be treated as the "knight" treats him. We experience here the first touch of Quixotification and Cervantes has us exactly where he wants us for the following twist.

14. "It is sufficient for me to command, and he out of respect will obey." (p. 43) The hero fails, revealing himself to be a fool who thinks the villain in the quixotic narrative will obey the code of the romance. We first-time readers are trapped on the quixote's side for the moment because we have been momentarily reading the narrative as the quixote has been reading it: as a romance. Cervantes leads us to the hero's side and then deserts us there.

This passage brings to the surface of the text a third-order, novelistic sequence which has been threatening to break through for many pages. It can be called the hero/fool sequence. Like the two novelistic sequences already introduced (and the two to come), the hero/fool sequence generates narrative energy through an antithesis. In this sequence the reader's sense of equilibrium is disturbed because the man who is obviously a fool almost makes himself a hero. If this sequence (the Andrés episode) were the only place in the text in which Cervantes disturbed our equilibrium in this way, we could call the hero/fool sequence an episodic sequence. Of course, it is not: throughout the rest of the novel Cervantes generates narrative by making Don Quixote almost a hero.

I cannot help thinking that Cervantes discovered this narrative possibility after he had begun to write. It seems to me that his original intention probably was, as he declares in a few places, to "arouse the abhorrence of mankind toward those false and nonsensical stories to be met in the books of chivalry." (p. 988) But, in the process of writing some episodes in which a fool is deceived by his reading of the false and nonsensical books of chivalry, Cervantes saw the possibility of generating narrative by allowing the fool to be right, or almost right, about the world. To exploit this possibility Cervantes must allow his real world to move closer to the world of the books of chivalry: he must admit a real villain (the farmer) doing real evil (beating the innocent lad) into the text. Once he admits that real villain into his text, however, Cervantes emancipates himself. From this moment on Cervantes is no longer forced to take the same side in every encounter between the quixote and the real world. From this moment on Cervantes can play on either side. Also, from this moment on, Cervantes can adopt the actional codes and spheres of action with less constraint. Earlier, in "The Dubbing" episode, for example, Cervantes is constrained by his satiric intention to reveal that the quixote's reading of the world is absolutely wrong: the landlord Quixote chooses to dub him has done many wrongs, ruined many maidens, etc. (#8) and certainly is no donor.

Here, and from now on, the quixote's reading of the world can be close to absolutely correct: the farmer beating the lad is a villain and deserves to be treated as a knight out of the books of chivalry would treat him.

The surfacing of the hero/fool sequence and the consequent emancipation of the discourse lead to two developments. First, the narrative that began as a simple satire starts to look like something else; the parody of the books of chivalry starts to look like a complex, ironic, ambiguous, modern novel. Second, Cervantes takes the first step toward his own Quixotification. As he allows the quixote to read the world almost correctly, he is forced to grant some validity to his fool's foolishness. The quixote's quixotism grows more and more valid as the narrative progresses because Cervantes finds he can generate narrative episodes by allowing the quixote to read the world accurately.

I think there is evidence here to justify an argument that the deepening complexity of Don Quixote is the consequence of Cervantes's narrative enterprise. The story becomes more complex because Cervantes discovers he can generate narrative sequences by granting some validity to his quixote's quixotism.

There is, as E. C. Riley has observed, "general agreement that Don Quixote increases in depth and resonance of meaning as it proceeds."⁹ The story becomes less of a simple satire

as it goes on. Different critics have offered different explanations for this turn, however. Leo Spitzer believes

that Cervantes anticipated the feeling of disharmony and incompleteness which would be produced in the reader by an anti-novel in pure form, and that Cervantes's harmonious nature asked for an equilibration of the critical sense by the beauty of the fabulous.¹⁰

Lionel Trilling believes:

There are two movements of thought in Don Quixote, two different and opposed notions of reality. One is the movement which leads toward saying that the world of ordinary practicality is reality in its fullness... But Cervantes changed horses in midstream and found he was riding Rocinante. Perhaps not quite consciously--although this view is latent in the book from the beginning--Cervantes begins to show that the world of tangible reality is not the real reality after all. The real reality is the wildly conceiving, the madly fantasizing mind of the Don.¹¹

In Don Quixote: Hero Or Fool? John J. Allen makes a careful, detailed argument that the increasing depth of the novel is a reflection of Cervantes's interest in the sin of pride, the problem of faith, and other issues.¹² Although I find all these explanations (especially Allen's) persuasive, I cannot resist offering my own, simpler explanation: Don Quixote grows complex because Cervantes realizes he will be able to generate more narrative if he allows Don Quixote to be something other than an absolute fool. In other words, Don Quixote grows more complex because Cervantes's story-telling instinct leads him to try out some variations in his narrative formula. His story-telling instinct says to him,

"Now what could I do with the fool if I allowed him to run into a real villain?" The possibilities are so obvious Cervantes cannot stop himself from exploring them.

15. [The farmer beat Andrés, after Quixote departed, and afterwards Andrés] left swearing that he would go look for the brave Don Quixote. (p. 44) This lexia marks the first chronological rift in the narrative, the only rift in the first nine chapters of the novel. Cervantes creates a break by sending his hero on ahead "quite content" while he leaves the reader behind at the scene to witness the beating.

Thus, the line of equilibrium for the hero/fool sequence can be marked: Don Quixote is a fool. Each time the narrative allows Don Quixote to seem heroic our sense of equilibrium is upset and we read forward in anticipation of the restoration of balance when Don Quixote will again be declared a fool. Here we are allowed (or forced) to witness the beating (and to see that Quixote's interference did no good) while the fool is allowed to go on thinking he is a hero. Our sense of the implicit promise of narrative to resolve all imbalances tells us that this sequence has not run its course. We may even guess that Andrés will return.

16. No sooner had [Quixote] sighted [the merchants] than he imagined that he was on the brink of some fresh adventure. A fourth episodic sequence begins. By this time it is evident that nothing more than the original deficiency,

Quixote's lack of sanity, is necessary to generate a sequence. It is enough for Quixote to declare that he is on the brink of a new adventure for him to be on the brink of a new adventure.

We can see here that the tilts of disequilibrium are not lined up in a simple string. The resolution of the Andrés episode has been delayed while we move forward into another tilt brought on by Quixote's sighting of the merchants. Disequilibrium is being created on all three levels at once: atomic sequences (which I have been ignoring in this chapter) are running their courses while episodic sequences and novelistic sequences are simultaneously generating narrative discourse.

17. "Let everyone," Quixote cried, "stand where he is, unless everyone will confess that there is not a more beautiful damsel...than...the Dulcinea." (p. 45) The hero issues an interdiction. We know by the code of the romance that the interdiction will be violated. There is no other reason for its existence in the narrative.

18. "I believe," said the merchant, "that though a picture would show her blind of one eye....," etc. (p. 46) The merchant mocks the Dulcinea and so the interdiction, as it must be, to serve the discourse's instinct for preservation, is violated. Again the codes of the romance and the quixotic narrative overlap and the passage is another example of the magical doubling power Quixote's particular madness gives

Cervantes. The narrative can mock the romance (by making the knight a fool) while stealing its plot (using the interdiction, violation of the interdiction, and the battle between the knight and the violator). The sequence is by the code of the romance "A Defense Of A Lady's Honor"; by the code of the quixotic narrative it is another $Q \rightarrow V \rightarrow Q/V$ sequence. The quixote imposes himself upon the merchant, attacks him, and falls victim himself when the merchants mill him "like a hopper of wheat." (p. 46)

When the hero is defeated in the Russian fairy tales Propp examines, the narrative begins a cycle that will lead the hero back to another engagement with the villain. Here, however, the sequence can end with the hero's defeat; we will not see the merchants again. The narrative can get away with this seeming imbalance because the deficiency that generated the move, Quixote's lack of sanity, is paradoxically also a stabilizing agent (cf. #3) and it need not be liquidated for the reader to feel the sequence has ended. The reader's sense of balance is satisfied when Cervantes re-establishes Quixote as a madman with the sentence: "Yet nonetheless he considered himself fortunate; for as he saw it, misfortunes such as this were common to knights-errant..." The narrative reminds us with that sentence that the novel is a satire, that the knightly adventures of Quixote are only parodies, and that we must remember that the novel is a story of a fool, not a hero. Cervantes uses the sequence from the romance as a kind of wild goose chase, an irrelevant digression. He sends Don Quixote into action by having him issue

the interdiction and so set off a series of events that lead to a battle and a defeat; Don Quixote fails as a knight; then, Cervantes restores some of the equilibrium by abandoning the romantic narrative, stripping Quixote of his disguise as knight, and telling us once again that the novel is a satire and Quixote a madman, "Yet nonetheless he considered himself fortunate...", etc.

19. He had reached this point when down the road came a farmer of the same village...(p. 48). This passage introduces a sequence which is very interesting to the analyst because here is the most telling remnant of Cervantes's original plan. Clearly, he originally intended to end his story of the madman turned knight right here. There is no reason to re-establish the initial situation except to re-establish all equilibriums and end the narrative completely. Quixote is as close to sanity here as he is when he returns to La Mancha at the end of the novel.

20. [Don Quixote and the La Mancha farmer] entered the village and proceeded to Don Quixote's house, where they found everything in confusion. (p. 49) The original short story plan, the plan for a tale of a man who reads too much, goes out of his mind, rides out of his town for a few adventures as a knight, and returns to home and sanity, threatens to devour the first Quixotic Novel. Despite himself, Cervantes is leading his narrative to an end. He announces that "everything" is "in confusion" so that the reader is prepared to have "everything" returned to the initial situation of peace.

21. [The curate, barber, and housekeeper scrutinized the books in Quixote's library.] (Chapter 6, pp. 51-58)

The false syntagmatic movement (false because the entire novel has been written and the pages of it still to come weigh heavily in the reader's right hand) continues toward a resolution. This chapter is the most dated and least mythic chapter in the entire novel (because today only the literary historian knows the books commented on). Cervantes's original plan, to write a satirical commentary on the books of chivalry, takes over the discourse in this false syntagmatic movement. Momentarily, Cervantes's lesser self, the laboring satirist and contemporary critic, takes the pen away from Cervantes's genius and tries to write the end to the story.

It would be exciting to find the exact point at which Cervantes realized he was not writing a short satire but something else, something for which there was no category. (I myself believe it was in that moment, #14, when he allowed the hero/fool sequence to break through to the surface of the narrative.) We can imagine him struggling over his manuscript: his lesser self dictating the commentary on the romances and signaling to him that his labor is almost done (all he has to do is get Quixote into bed so his sanity can be restored after the books have been commented on and burned) while his genius is signaling that he has something here that must be saved, that his labor

has just begun. We can also imagine Cervantes being reluctant to let his genius have its way, being reluctant to take the step now toward the immense task of writing the first modern novel.

22. In the meanwhile Don Quixote was bringing his powers of persuasion to bear upon a farmer who lived near by, a good man...with very few wits in his head. (p. 60) Cervantes's genius discovers how to save the narrative from the syntagmatic structure of the original short story/satire which has led the hero through a couple of episodes, made its satiric point, and is winding to a close. Sancho Panza is conceived and the novelistic possibilities, the possibilities Cervantes's lesser self has been trying to squelch since "the farmer from the same village" came upon Quixote, #19, prove irresistible. Sancho Panza carries Cervantes's genius away again from La Mancha and off to write the masterpiece of Don Quixote.

23. Don Quixote told Sancho that...adventure...would win them an island, and then he...would be left governor of it. As a result...Sancho Panza forsook his wife and children. (p. 60) Cervantes immediately invests the sidekick with an illusion that will explain why he accompanies the madman through the adventures. Here I wonder if we cannot modify Barthes's analysis and talk about the character's "instinct for preservation." In a sense, it is to Sancho's advantage that he lacks wits and believes Quixote's

promises. If he did not lack wits, if he realized the Don was only a madman, Sancho would not have survived in the narrative. He can only exist in the story because he is stupid enough to accompany a fool.

This is a point I will return to in the next section of this chapter. It seems to me that quixotism spreads through the text like a germ (other characters adopt Don Quixote's vision of things) because, paradoxically, the characters can only survive in the narrative as long as they are susceptible to that germ. Characters who are immune to quixotism tend to disappear from the narrative quickly. Sancho Panza has the longest life of any character (other than Don Quixote himself) because he is the character most susceptible to the germ Don Quixote brings into the world.

24. "...there before you, friend Sancho Panza, are some thirty lawless giants..." (p. 62). The fifth episodic sequence begins, "The Windmills." Again the invocation of Quixote's lack of sanity is enough to create an imbalance (between reality and illusion) and the best-known episodic sequence in all Quixotic Novels is set into motion. If the scrutiny of the books is the least mythic passage in the novel, this passage is the most mythic. This second-order sequence, one could argue, is the purest representation of the episodic formula $Q \rightarrow V \rightarrow Q/V$ in the novel.

25. "What giants?" said Sancho Panza. "Those that you see there," replied his master..."But look, your Grace, those are not giants but windmills." (p. 63) By this lexia a fourth novelistic sequence is underway: the partners sequence. In this sequence disequilibrium is created when the two partners do not share the same understanding of the world. Often, the antithesis is in the form recognized by "Superficial Tradition": Sancho, the earthly realist, sees mundane reality where Quixote, the mad idealist, sees illusion. That is the case here. However, if the analysis in the last chapter is correct, the antithesis can take other forms. In certain situations, in fact, Quixote can be saner than Sancho and just as astonished and confused by Sancho's deficiency as Sancho is of Quixote's deficiency here. In II, 28, Quixote slaps his forehead and laughs when Sancho reveals that he is crazy enough to believe that the trip has taken twenty years and three days "more or less," (p. 696). From the point of view of the narrative it does not matter which partner maintains which side in the argument. What matters is that an antithesis is established. The opposition between the partners generates dialog and, once the servant and man begin to exchange opinions, drolleries, proverbs, and witticisms, the narrative has gained another novelistic unity: the reader reads forward to see how the partners will finally come to share the same understanding of the world and re-establish equilibrium.

Because it generates the marvelous dialog between the two, the partners sequence is, in my opinion, the most successful novelistic sequence. The existence of the antithesis between the partners means the narrative can hesitate at any moment and delay chronological description with conversation. Cervantes finds another way to delay Quixote's progression toward sanity (which will end all sequences): he allows Quixote and Sancho to argue. Sancho's arguments never lead Quixote any closer to sanity, of course (even when they are filled with common sense). The discourse's instinct for preservation determines this. If the dialog led Quixote toward sanity, the dialog would be self-destructive.

26. ...he bore down upon them at a full gallop and fell upon the first mill that stood in his way, giving a thrust at the wing, which was whirling at such a speed that...both horse and horseman were very much battered indeed. (p. 63) This lexia and the next one should be

marked because they are evidence that Cervantes immediately understands the efficacy of the dialog. Here he compresses all the "action" of the sequence into a single sentence.

27. "...did I not tell your Grace...that those were nothing but windmills..." (p. 63) The second-order episodic sequence, "The Windmills," gives its energy to the third-order sequence, the partners sequence. Sancho here marks again the antithesis between himself and Quixote.

28. "Be quiet, friend Sancho," said Don Quixote..."I am sure that this must be the work of that magician Freston... (pp. 63-64) Quixote here invokes his "escape clause":

he finds the way to justify his misconception of the world and avoid moving toward sanity. From the point of view of the narrative the "escape clause" is valuable: it allows the madness sequence to continue and the narrative to go on.

29. ...there appeared in the road...two friars...
"Either I am mistaken or this is going to be the most famous adventure..." (p. 66). Another second-order, episodic sequence begins. By the time he reads this passage, the reader feels he could almost write the episode himself. The elements are simple and the confrontation and outcome of the confrontation inevitable. There is the quixote creating obstructions to charge; there is the victim (in this case the friars) who will be the target of the charge; there is the bystander, Sancho; we can almost tell exactly what will happen.

The immediate non-analytical pleasure in reading Don Quixote is, I think, an almost musical pleasure. The reader learns to enjoy the repetition of patterns, the slight shifts of tone and emphasis, the harmonic structure of the novel. The anticipation the reader experiences as he moves through the sequences of the text is not completely an anticipation of enigmas being explained (as it would be in, say, a murder mystery). Our anticipation is also an anticipation of textual harmonies. Certain chords--Sancho's proverbs, Quixote's announcements ("...this is going to be

the most famous adventure,"), Sancho's pleas to common sense, Quixote's assertions of the chivalric code--become familiar and so pleasurable for their own sake. While we read strongly hermeneutically-coded texts like murder mysteries because we don't know (quite) what to expect, we read Don Quixote because we know (almost) exactly what to expect.

30. "O devilish and monstrous beings, set free at once the highborn princess..." (p. 66) The hero issues another interdiction. Cervantes again uses the doubling of codes, the overlap of satire and romance, to generate discourse. The reader has two reasons to read on--to laugh at the madman's encounter with the friars and to learn the outcome of the knight's battle with the "devilish and monstrous beings."

31. "We know nothing...of any captive princesses." (p. 67) The interdiction is violated. If it were not violated, the knight could not charge and the madman could not make a fool out of himself.

32. [Quixote knocked one friar down.] Seeing the friar upon the ground, Sancho Panza slipped lightly from his mount and...began stripping him of his habit. (p. 67). One improvement which Sancho's presence makes in the narrative is the increase in narrative space. This is not often mentioned in Cervantine criticism, but it is a real part of Sancho's value. Suddenly, Cervantes has two focal points

for his choreography: Quixote here and Sancho over there; while Quixote approaches the lady in the coach, Sancho robs the fallen friar. Cervantes uses this double focus to its fullest extent when he sends Sancho off to govern the island (in Part II) while Quixote stays behind at the Duke and Duchess's.

33. The two mule drivers accompanying the religious thereupon came running up and asked Sancho why he was doing this. The latter replied that the friar's garments belonged to him as legitimate spoils of the battle his master Don Quixote had just won. The muleteers, however, were lads with no sense of humor...they pounced upon Sancho...and proceeded to...kick him to a pulp...Meanwhile Don Quixote ...was speaking to the lady in the coach. (p. 67) This passage reveals the complexity of the episodic sequencing. Although $Q \rightarrow V \rightarrow Q/V$ is the formula operating here, it is hard to see where one sequence ends and the next begins. Quixote tilts against the friars and victimizes them (they flee); Sancho shares in the quixotic aggression (taking the friar's habit) and is victimized himself by the mule drivers; meanwhile, Quixote is continuing the sequence, or beginning a new one (there is no clear difference) by approaching the lady. He will find there the gallant Biscayan who will violate the knight's interdiction to return to El Toboso to tell the Dulcinea of her lover's deeds. The act or acts of quixotic aggression will continue. The tapestry of Cervantes's narrative becomes more and more tightly woven as the story becomes less and less like a string of episodes.

34. [Don Quixote and the Biscayan raised swords and attacked each other.] But the unfortunate part of the matter is that at this very point the author of the history breaks off and leaves the battle pending... (p. 69) With this stroke

Cervantes introduces the fifth novelistic sequence: the self-conscious narrator sequence. The antithesis created here is between the implied Cervantes and "the author of the history" but, like the antithesis generated in the partners sequence, the antithesis in the self-conscious narrator sequence can take different forms. John J. Allen has found six kinds of "fictional intermediaries which Cervantes has interposed between himself and the events of the story":

Cervantes...represents himself as dependent upon Cid Hamete, a Moorish translator, marginal notes, hearsay and oral tradition, other unspecified authors, and the annals of La Mancha. These are the authors and sources whose relative omniscience and reliability must be investigated before a judgment can be made concerning authorial commentary and the ethical orientation of the reader.¹³

From the point of view of the narrative there is only one antithesis here: each time Cid Hamete, or the Moorish translator, or the annals of La Mancha interrupt the implied Cervantes's narration a disequilibrium is created--between the story and the implied Cervantes's form for that story--and the reader is encouraged to read on in expectation that balance will be restored. Each time Cervantes allows the voice of an intermediary to interrupt his voice we are tilted forward into the self-conscious narrator sequence and we read ahead anticipating the restoration of equilibrium when the two voices will again be one.

Like the psychology sequence, the self-conscious narrator sequence is evidence of the reader's special presence in the narrative system. The only witness to the struggle between Cervantes and the intermediaries is the reader. Cervantes can only introduce Cid Hamete, the Moorish translator, and the rest into the narrative because he is aware that the reader is reading.

The end of Chapter 8 concludes what I consider to be the first section of the novel. The self-conscious narrator sequence is the last of the novelistic sequences. By this time Cervantes has discovered the doubling of codes Quixote's chivalric madness makes accessible to the narrative (#4), adopted the $Q \rightarrow V \rightarrow Q/V$ formula as the basis for the episodic sequences (#5 and following), discovered he need not develop the chronological narrative to generate discourse (#7), rejected the original plan for a short satire (#21-22), invented Sancho (#22), and set the five novelistic sequences into motion: madness (#2), psychology (#5), hero/fool (#14), partners (#25), and self-conscious narrator (#34). From now on the narrative becomes an elaboration and extension of the structure Cervantes has created in the first eight chapters. He has made certain promises and assumed certain privileges. The rest of the novel is an exploration of the possibilities created in the first seventy pages.

3. The Model of Don Quixote: A Preliminary Sketch

In this section, the last before the discussion turns to the other Quixotic Novels in the next chapter, I am going to try to do something I perhaps should not try. I am going to try to describe the "model" of narrative structure in Don Quixote.

One reason I should not try to describe the "model" is because I can offer only a "preliminary sketch" of it. Details are still lacking. A second reason I should not try to describe the "model" is because even Roland Barthes has decided that such a task is "exhausting" and not worth the trouble.

There is a difference in the critical principles of Barthes's S/Z and Propp's Morphology which I did not mention in my "synthesis" of their methods in Chapter One. The opening passage of S/Z is a declaration of that difference. "There are said to be certain Buddhists," Barthes writes,

whose ascetic practices enable them to see a whole landscape in a bean. Precisely what the first analysts of narrative were attempting: to see all the world's stories (and there have been ever so many) within a single structure: we shall, they thought, extract from each tale its model, then out of these models we shall make a great narrative structure, which we shall reapply (for verification) to any one narrative: a task as exhausting (ninety-nine percent perspiration as the saying goes) as it is ultimately undesirable...

Propp is, of course, one of "the first analysts" Barthes is talking about: Propp's reduction of his one hundred fairy tales to thirty-one functions and seven spheres of

action is an attempt to draw the model of narrative that generates the hundred tales. But, there are other "first analysts of narrative." Robert Scholes has commented on the passage above: "This is not exactly a fair representation of the work of Greimas, Bremond, and Todorov...but it is close enough to be painful."¹⁵ He might have added one more name to the list: Roland Barthes. The method Barnes is rejecting in the passage above is the very one he argues for in his essay "An Introduction To The Structural Analysis Of Narrative," written in 1966, four years before S/Z. There Barthes declares:

Where...should we look for the structure of narrative? No doubt in the narratives themselves...What?...are we to expect in the case of the analysis of narrative, faced with millions of narrative acts? It is obviously committed to deductive procedures; it is compelled to conceive, first, a hypothetical model of description (which American linguists call a "theory"), and then to proceed gradually from that model down, towards the species, which at the same time partake in and deviate from the model. It is only at the level of such conformities or discrepancies, and equipped with a single tool of description, that the analyst can turn his attention once more to the plurality of narrative acts, to their historical, geographical, and cultural diversity.¹⁶

I have been citing "An Introduction To The Structural Analysis Of Narrative" throughout this study because it anticipates and clarifies much of what Barthes does in S/Z. About the matter of finding the model of narrative structure, though, Barthes's feelings change between 1966 and 1970. He continues in his opening passage of S/Z:

A choice must...be made: either to place all texts in a demonstrative oscillation, equalizing them under the scrutiny of an in-different science, forcing them to rejoin, inductively, the Copy from which we will then make them derive; or else to restore each text, not to its individuality, but to its function, making it cohere, even before we talk about it, by the infinite paradigm of difference, subjecting it from the outset to a basic typology, to an evaluation...Our evaluation can be linked only to a practice, and this practice is that of writing.¹⁷

In simple terms, what Barthes is doing here is claiming the right to practice what Scholes calls "high structuralism" (Chapter One above). Barthes need not be concerned with justifying his analysis of "Sarrasine" as something that will be useful to other readers interested in understanding that story, or Balzac, or the poetics of the short story. His analysis of "Sarrasine" is justified because it is an analysis done by Roland Barthes. Barthes is, as Scholes observes,

a star performer, an individual who must be approached as a system in himself, and understood for the sake of his own mental processes.¹⁸

Barthes can abandon the "exhausting" task of searching for the model of narrative structure, then. He is not writing to be useful (although S/Z is, despite Barthes's "high structuralism," very useful); Barthes can offer S/Z as a text that is valuable for its own sake. It will be read because it is written by Roland Barthes; it does not have to justify itself by its usefulness, by how well the structures described in it can be reapplied to other narratives.

The analyst interested in practicing "low structuralism," who (by Scholes's definition) "writes to be immediately useful, to be ultimately superseded,"¹⁹ must be attracted to the search for a model of narrative structure. An analyst who could describe the model of a given narrative or a given genre of narratives would have done something obviously helpful. He would have achieved what Tzvetan Todorov, V. Propp, and others have claimed is the objective of "structural analysis":

to propose a theory of the structure and operation of the literary discourse, to present a spectrum of literary possibilities, in such a manner that the existing works of literature appear as particular instances that have been realized.²⁰

What Todorov, Propp, and other structural analysts of narrative who are interested in searching for the model of narrative structure are trying to do is to describe what has sometimes been called the "deep structure" of narrative.

The analysis that follows is an attempt to descend toward the "deep structure" of Don Quixote. Whether or not it is the right one, the path taken below is long and twisting. Perhaps, my reader will be more easily convinced that we are getting somewhere if he knows ahead of time that there are three key turns:

1) René Girard's suggestion that the structure of Don Quixote can be represented by a triangle and his claim that Cervantes's influence moves "effortlessly throughout the whole 'novelistic' space" (discussed in Chapter Two above);

2) Roland Barthes's concession that character can structure narrative (cited in the first section of this chapter); and

3) Don Quixote's most important speech.

There are two other, less unassailable sources that will determine the direction of the descent: the analysis of the three kinds of narrative sequences, advanced in this chapter and Chapter Three; and my sense of the reader's "special presence" in the novel. The last source I am especially reluctant to use. Barthes is right when he says that literary theory has not sufficiently examined the role of the reader in the text (cf. #5, above), but it is not an easy role to examine. We do not have yet a good way to measure the reader's presence in the text. Several well-respected critics, Norman Holland is one, ²¹ have recently begun to look at how readers read, but, so far as I know, their investigations have not reached the kind of conclusions that will really help individual analysts look at individual texts. It is relatively easy to discuss the narrator's presence in the text: we have his words on the page in front of us. The reader, by contrast, is only invisibly present in the text. The analyst convinced, as I am convinced, that the reader's presence in the text has much to do with the structure of the text must rely (mostly) on his own subjective sense of the text, on his understanding of how he is

participating in the narrative. That is what I must do here. I hope I am correct in thinking my reader's sense of the text of Don Quixote is something like mine.

We can begin the search for the model of Don Quixote by looking at the formula $Q \rightarrow V \rightarrow Q/V$ which structures so many episodic sequences. Of all the patterns the analysis has found in the novel this formula looks the most like a kernel structure, a unit which determines the existence and relationship of other units. The formula determines the relationship of quixote and victim and in its variations, including $[M] Q \rightarrow [B] \rightarrow V \rightarrow Q/V$, provides the space for the existence of the spheres of action of the manipulator (M) and the bystander (B). In the eight chapters examined in the last section the tendency of the quixote to tilt at victims generated each of the following episodes: "The Dubbing" (#9-10), "Andres" (#11-15), "The Merchants" (#16-18), "The Windmills" (#24-28), and "The Friars" (#29-32). In "The Windmills" the formula is varied for the first time and Sancho plays the bystander, a role he will play frequently throughout the rest of the text, as noted in Chapter Three. The formula also provides the space for the insertion of the manipulator, a sphere of action which appears later in the novel, in "The Enchanted Dulcinea," "The Galley Slaves," and other episodes. But, we cannot say that $Q \rightarrow V \rightarrow Q/V$ is the model of the narrative structure of the novel; we cannot see the

landscape of Don Quixote in the bean $Q \rightarrow V \rightarrow Q/V$. The problem is that the formula describes only the episodic, second-order sequences. We need a model that structures the whole text. We need to consider the first- and third-order sequences, the atomic sequences and the novelistic sequences.

Searching for the model in the several hundred first-order, atomic sequences is the way to despair, as far as I can tell. The structuralist belief that the text is a bricollage of already-written fragments finds its strongest support here. A determined analyst could, I believe, go through the entire text in the way I went through II, 28 (Chapter Three) and mark several hundred generic, cause and effect sequences: A witness confronts a pretender/The pretender finds an excuse; The wit lays a trap for the fool/The fool is trapped; and so on. But, he would have only evidence that the text is a collage, a collection of generic sequences. He could not identify (if I am right in thinking there is no significant repetition in the atomic sequences) any underlying structure from his list of first-order sequences. The analyst interested in seeing the landscape in a bean cannot take this approach: he will not find the bean by compiling a list of all the trees, rocks, and shrubs in the landscape. He needs to move from an examination of the surface to the "deep structure," from the texture of the narrative to the principles that determine that texture.

We can come interestingly close to describing that "deep structure," it seems to me, if we look in the other direction from the episodic formula $Q \rightarrow V \rightarrow Q/V$. If we proceed, in other words, not "down" from the formula $Q \rightarrow V \rightarrow Q/V$ to the atomic sequences but "up" to the third-order, novelistic sequences. There are at least two good reasons for searching in this direction for the model that structures Don Quixote. First, we have severely reduced the number of sequences we have to examine, from several hundred to five. Second, there is a way to argue that the third-order sequences actually structure the text.

The analysis in Chapters Three and Four has moved "up," from atomic sequences to episodic sequences to novelistic sequences, from the shortest syntagmatic structures to the longest. It may seem that, since the shorter sequences make up the longer (atomic sequences make up episodic sequences; episodic sequences make up novelistic sequences), the atomic sequences structure the text. In one sense, they do. If Barthes and Propp (and the other structuralist narratologists) are right, the author interweaves the generic fragments into the fabric of the narrative. The larger fabric can only be made from the threads of the already-written. In this sense, the atomic sequences determine the form of the whole text. In another sense, however, the longer sequences determine the form of the whole text. The unity in a fabric is not created by the threads, per se; the unity

is created by larger forms--repetitions of colors, matchings of colors, geometric shapes, and so forth. A particular thread can only exist in a given fabric if the design of the fabric has provided a space for it. It is in this way that the third-order, novelistic sequences structure Don Quixote. The third-order sequences provide the space for the existence of the episodic and atomic sequences. The third-order novelistic sequences are the design of Don Quixote. The madness sequence, for example, provides the space for "The Windmills" episode. It is only because Quixote is mad that he attacks the windmills. This episodic sequence, in turn, provides the space for the atomic sequences it contains. It is because of the events in "The Windmills" that Cervantes can weave into his narrative the atomic sequence that is the exchange between Don Quixote and Sancho Panza: "Did I not tell your Grace...that those were nothing but windmills..?" "Be quiet, friend Sancho,...I am sure this must be the work of that magician Freston..." (pp. 63-64). The long tilt of madness in the third-order sequence provides the space for the shorter tilt at the windmills in the second-order sequence. The tilt at the windmills, in turn, provides the space for the short tilt of disequilibrium created in the atomic sequence, a sequence we can name The realist tries to show the madman reality/The madman refuses to see it.

We can see here how the third-order sequence structures the text. The madness sequence determines the outcome of the atomic sequence. A different atomic sequence, a different fragment of the already-written, would not fit the design. The generic sequence The realist shows the madman reality/
The madman sees it would not work here. The discourse's instinct for preservation determines that Quixote cannot see reality. The madness sequence serves that instinct and thus only provides space for atomic sequences which fit that design.

So, the analyst searching for the model of narrative structure in Don Quixote has good reason to turn his attention to the novelistic, third-order sequences. If he could describe the "deep structure" that determines the shape of each of the five novelistic sequences, he could feel he had descended far into the depths of the narrative of Don Quixote. If he could describe such a structure, he might even want to claim he had found the bean in which the whole landscape can be seen.

This particular analyst owes the next step in his argument to René Girard. As I explained in Chapter Two, I find Girard's analysis in Deceit, Desire, And The Novel both appealing and ultimately unacceptable. The structure Girard finds at the heart of the novels he examines, the triangle of mediated desire, appeals because it is elegant and useful.

Once Girard draws his simple triangle, we are convinced that he is right about the similarities in the stories of Cervantes, Dostoyevsky, and the rest. What is unappealing about the analysis is that it explains too much. In particular, we must wonder how the theme of mediated desire moves through literary history, from Cervantes to the others. Girard argues, "The creative force of Cervantes is so great that it is exerted effortlessly throughout the whole 'novelistic' space "²² He claims it even influences Dostoyevsky who could not have read Don Quixote in an accurate translation. This is hard to accept and an arrogant student might even argue that Girard is being purposely vague because he himself does not know how the germ of triangular desire (which is Cervantes's "creative force" as far as Girard is concerned) moves "effortlessly" from Cervantes to the other authors.

I have been wondering about that "effortless" movement ever since I read Girard's provoking analysis. It does seem that there are real similarities in the novels Girard examines: Proust's Marcel is like Cervantes's Quixote; "The Eternal Husband" is like "The Curious Impertinent." But, how has this happened? I have been wondering if there wasn't some more logical explanation for the replication of Cervantes's theme in Proust, Dostoyevsky, and the others. And, in searching for the model that structures Don Quixote, I think I might have found a way to explain that "effortless" influence. The

figure that structures Don Quixote is a triangle, but it is not the triangle of mediated desire. It is the triangle of narrative sequence!

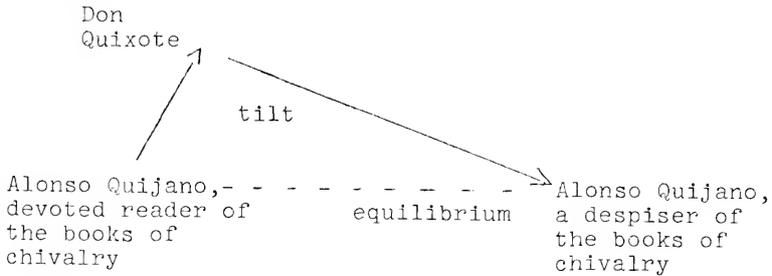
Let me again cite Tzvetan Todorov who has described the principle of narrative structure I have been using throughout this study:

All narrative is a movement between two equilibriums which are similar but not identical. At the start of the narrative there is always a stable situation...Subsequently, something occurs which introduces a disequilibrium...At the end of the story...the equilibrium is re-established.²³

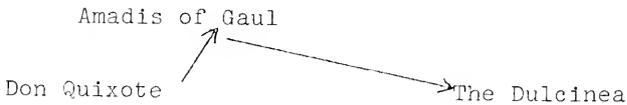
This is a principle, I argued earlier (Chapter One), that is part of both Propp's and Barthes's systems of analysis. Narrative is given kinetic energy (the reader is led forward into the tale) because a deficiency (a disequilibrium) is invoked; the reader reads the narrative sequence in the expectation that the deficiency will be liquidated, that equilibrium will be restored. Isn't this a triangle?²⁴

In the madness sequence, for instance, we have the original equilibrium: a gentleman living in La Mancha with a housekeeper, his niece, and a lad of the field and market place. He is Alonso Quijano, a devoted reader of the books of chivalry. The "something" which "occurs," the disequilibrium, is Quijano going mad and becoming "Don Quixote." In the final situation, at the end of the madness sequence, equilibrium is restored when "Don Quixote" becomes Alonso Quijano again. But the final equilibrium is, as Todorov

points out, not identical to the original equilibrium:
 Alonso Quijano is Alonso Quijano again, but he is no longer
 a devoted reader of the books of chivalry; he despises the
 books of chivalry. The triangle describing this sequence
 can be drawn:

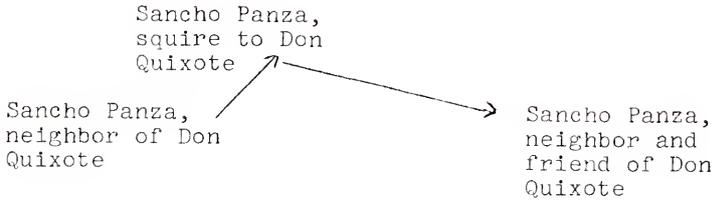


Now this triangle seems, at first glance, to be very
 different from the triangle Girard describes:



Actually, the two triangles above have more in common than
 it first appears. I will return to that point, and to the
 problem of Cervantes's "effortless" influence, later in this
 discussion. First it is necessary to examine the other
 novelistic sequences in Don Quixote. If the triangle of
 narrative sequence does indeed structure the text, we should
 be able to find it present in other sequences.

One sequence is like the madness sequence in that it
 is obviously triangular. It is the partners sequence which
 can be drawn as:

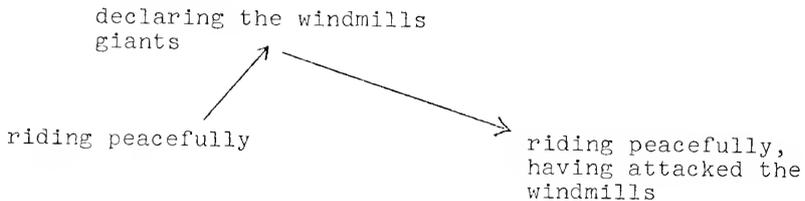


Here the initial equilibrium is Sancho's original relationship to Don Quixote: he is a farmer who lives nearby. The "something" which "occurs" is Sancho's decision to join in partnership with Don Quixote, to act as his squire. This is the disequilibrium which gives the narrative energy to the partners sequence. The reader reads forward in expectation of a final equilibrium. The final equilibrium is similar but not identical to the initial equilibrium: Sancho is a farmer living nearby Don Quixote once again, but now he is also Don Quixote's devoted friend.

The partners sequence is like the madness sequence in that the progression from the initial equilibrium to the final equilibrium is a progression from the point of view of the character: in the madness sequence Alonso Quijano learns to despise the books of chivalry because he pretends that he is Don Quixote. In the partners sequence Sancho Panza learns to love Don Quixote because he pretends he is a squire to a knight-errant. The progression in both these sequences is a learning experience for the heroes.

But the progression of the sequence need not be a progression from the point of view of the character. It need

only be a progression from the point of view of the narrative. We can see this if we look at the episodic sequence "The Windmills." Here the hero does not learn or change; the movement from the initial equilibrium to the final equilibrium is not a progression from the point of view of the character. The initial situation is the pair of heroes riding peacefully across the plain. The "something" which "occurs," the tilt of disequilibrium, in this case, is Don Quixote's declaration that the windmills are giants. This declaration supplies the kinetic energy to the sequence: the reader reads on because he knows equilibrium has been disturbed. Because the reader reads on, the discourse survives; the sequence succeeds. Equilibrium is restored when Don Quixote has been clobbered, Sancho has been proven right, Don Quixote has invoked his "escape clause" ("I am sure this must be the work of that magician Freston..."), and the pair of heroes are once again riding peacefully across the plain. We can diagram the episode:



From the point of view of the characters nothing is gained in this sequence: Don Quixote has not realized he is deluded; Sancho Panza has not learned his master is a fool.

The value of the sequence cannot be measured in the growth of a character; the value of the sequence can only be measured in the growth of the narrative. This is all that is gained by the sequence: the discourse of the sequence. The sequence has generated narrative discourse and is, therefore, from the point of view of the narrative, successful.

The three remaining novelistic sequences, the hero/fool, psychology, and self-conscious narrator sequences, are like "The Windmills" in that they are only progressions from the point of view of the narrative. They succeed not because they lead the character from a deficiency (Quixote's madness, Sancho's lack of wits) to truth (Quixote's sanity, Sancho's love for his neighbor). The last three novelistic sequences succeed because they lead the reader through the narrative. To draw the triangles of these sequences we must examine not how the character lives through them, but how the reader reads them.

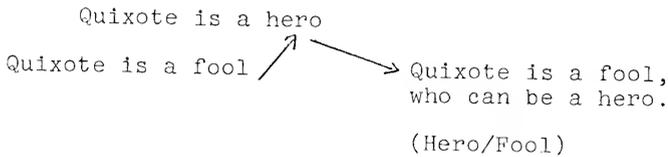
The hero/fool sequence can be drawn when we remember that for the reader the line of equilibrium in this sequence is: Don Quixote is a fool (cf. #15). The "something" which "occurs" in this sequence is: Don Quixote becomes a hero. Each time Don Quixote manages to act heroically equilibrium is disturbed and we read onward in the expectation that balance will be restored when Don Quixote once again reveals himself to be a fool. The "Andrés" episode is the first example of the hero/fool sequence operating in the text.

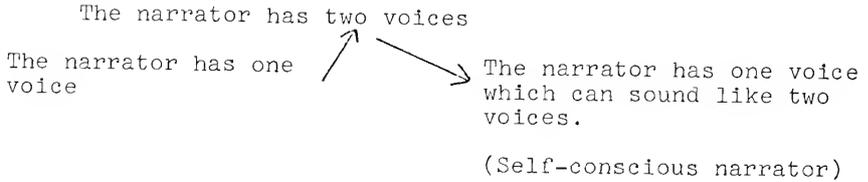
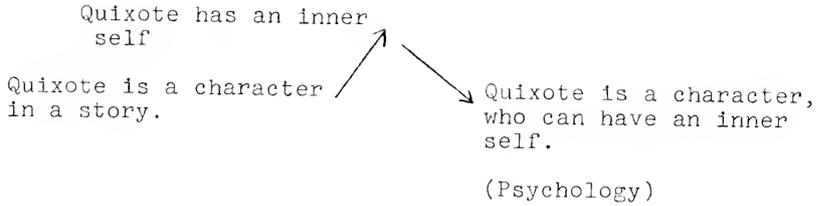
Up to the moment when Don Quixote interferes in the dispute between Andrés and the cruel farmer the reader is reading a simple story of a fool. This is the state of equilibrium (for this sequence) that is upset when Don Quixote's action makes him seem a hero. Equilibrium is restored when Quixote announces, "It is sufficient for me to command, and he out of respect will obey," (#14) thus re-establishing himself as a fool who thinks the villain will act according to the code of the books of chivalry.

The disequilibriums in the last two novelistic sequences are more subtle. I argued earlier (#5 and #34) that the only witness to the disturbances in the psychology sequence and self-conscious narrator sequence is the reader. The "something" which "occurs" in these two sequences occurs only in the mind of the reader; nothing happens in the world of La Mancha. Cervantes can operate each of these two sequences only because he is aware the reader is reading. He knows he will engage us to read on by revealing the disjunction between Quixote's outer and inner selves and the disjunction between his ordinary voice and the voices of the intermediaries. We will read on in the expectation that Quixote's inner and outer selves will be reunited and the voice of the implied Cervantes and the voices of the intermediaries will become one. The restoration of balance in these two sequences is very subtle, however. Quixote's inner and outer selves are not exactly reunited after he refuses to test the second

helmet (#5) and the voices of the implied Cervantes and the voices of the intermediaries do not exactly become one after each disjunction (after the battle with Biscayan, for example). What happens is the narrative restores balance by going on as if the disjunction were not there. Cervantes can get away with this device because he knows the line of equilibrium is only in the mind of the reader. The line of equilibrium for the psychology sequence is something like: "I am reading the tale of a crazy character who thinks he is knight." The line of equilibrium for the self-conscious narrator sequence is something like: "I am reading a tale told by one voice." Cervantes disturbs both of these equilibriums by interposing impossible pretenses: the crazy character has an inner self; the one voice of the narrator is actually many voices. Neither of these pretenses are true, but they are both disturbing. The reader's sense of equilibrium is disrupted until he is allowed to forget them: the narrative continues with the story of a crazy character who thinks he is a knight (we are allowed to forget about the "existence" of Quixote's inner self) and the implied Cervantes allows his narrating voice to merge again with the fictional intermediary (we are allowed to forget about the "existence" of the intermediary). We are allowed to once again say to ourselves, "I am reading a story of a crazy character who thinks he is a knight" when equilibrium is restored in the psychology sequence and "I am reading one voice" when equilibrium is restored in the self-conscious narrator sequence.

The hero/fool sequence, the psychology sequence, and the self-conscious narrator sequence are unlike the first two novelistic sequences described above, the madness sequence and the partners sequence, in that they do not tell one long story. They are always momentary sequences, sequences Cervantes can invoke at any time to give the narrative kinetic energy. The "final" equilibriums that cap these sequences each time they appear are also momentary. They do not cap one long story; they are temporary restorations of balance. They are not learning experiences for the heroes (in most cases). They are, however, learning experiences for the reader and, if we look at these sequences from the point of view of the reader, we can draw the triangles of their structures and see a kind of progression in each. Just as in the madness sequence and partners sequence (and all narrative sequences, if Todorov's analysis is correct), the final equilibriums in each of these sequences are similar but not identical to the initial equilibriums. Briefly, the triangles can be drawn as:





I have grouped the hero/fool sequence with the two sequences that can only be witnessed by the reader because it is a special case: sometimes, as in the "Andrés" episode, only the reader is disturbed because the fool almost makes himself a hero (Andrés thinks Quixote is a hero; the farmer never doubts he is a fool); at other times, the disturbance can occur in the world of La Mancha--Sanson Carrasco, for example, knows Quixote is a fool, but is disturbed by how close Quixote comes to making himself a hero by imitating the knights chivalry (he is so disturbed, in fact, that he attempts his own imitation).

I apologize for the awkwardness of the diagrams above. They are difficult to draw because they are not maps of the heroes' progressions through the story; they are maps of the reader's progression through the story. At least, I think they are maps of the reader's progression. It is here I am most dependent on my sense of the reader's participation in

the text. It seems to me that each time one of the above sequences is set in motion, when Quixote makes himself almost a hero, or when the narrative reveals Quixote's sense of self-awareness, or when Cervantes allows one of his fictional intermediaries to interrupt him, we are drawn forward; we are led forward by the tilts of disequilibrium in each sequence. We read forward in anticipation, expecting that Quixote will once again resume his status as fool, that his inner self will be absorbed by his outer, and that Cervantes will allow his own voice to absorb the voice of the intermediary.

If this analysis is correct, we are getting closer to an understanding of the model that generates Don Quixote. We have found that the five novelistic, third-order sequences, which form the design of the text, have similar shapes: all can be represented by triangles. It is tempting to here point at the triangle of narrative sequence and say that that is the model that generates Don Quixote. If the analysis above is correct, and the awkward diagrams are reasonably accurate, then the triangle of narrative sequence certainly structures Cervantes's masterpiece.

The problem with pointing to the triangle of narrative sequence as the model that generates Don Quixote is that we have not pointed to a special characteristic of Don Quixote. If Todorov is right that "All narrative is a movement between two equilibriums," and I am right that this movement can be represented by a triangle, all narrative sequences can be

represented by triangles. We have not yet made the triangle model special enough to be convincing. We need to find some characteristic of the triangular sequences in Don Quixote that seems more unique to Don Quixote.

Here we can return to Girard. Girard uses the triangles to investigate the psychological nature of the heroes, but could we not see his diagram as a diagram of a narrative sequence? Isn't Don Quixote's imitation of Amadis a tilt of disequilibrium? Isn't this what justifies the theme of mediated desire from the point of view of the narrative? Mediated desire creates kinetic energy in the syntagmatic structure of the text. By pretending he is Amadis, Quixote creates an imbalance: the narrative can move forward--into the episode of "The Windmills," "The Enchanted Dulcinea," and all the rest--because Quixote is mediated by Amadis. We should remember that Quixote never encounters the Dulcinea in the plot of the novel; he does not move toward the Dulcinea by his imitation of Amadis; he moves into the various adventures that make up the text. Because Quixote imitates Amadis, Cervantes can use the spheres of action from the books of chivalry: can have Quixote tilt at various imagined villains, can have him tilt at real villains, can have him pursue an illusory Dulcinea, can have him adopt a common-sensical neighbor as a squire, and so create the chronological movement that is the novel's syntagmatic structure. From the point of view of the narrative Quixote's imitation of Amadis

justifies itself because it is such a good way to generate narrative discourse. Once the madman begins to think he can be a knight, once the madman begins to think he can make his life a story, the possibilities for narrative sequences proliferate.

What we have here in the relationship between Girard's triangle of mediated desire and the triangle of narrative sequence is the link Barthes has observed in his analysis of "Character And Discourse": "the character and the discourse are each other's accomplice." Paraphrasing Barthes's analysis (see first section above) we can say about Don Quixote: If we have a realistic view of character, if we believe Quixote has life off the page, we will look for motives for his imitation of Amadis (mediated desire, according to Girard). If we have a realistic view of discourse, if we consider the story being told as a mechanism that must function until the end, we will say that since the law of narrative decrees that it continue, the madman must make himself a knight. The discourse creates in the character its accomplice. Quixote has such an exciting life on the page because his imitation of Amadis serves so well the discourse's instinct for preservation.

This, I believe, is the explanation for Cervantes's "effortless" influence on the "whole 'novelistic' space." Cervantes's theme appears again and again in other novels because the theme fits so well the requirements of narrative

sequence. In other words, there is a fit between paradigm and syntagm. Quixote's imitation of Amadis creates so many narrative possibilities, because it generates so many triangles of narrative sequence, that other authors cannot help adopting it. The influence is "effortless," we could argue, because the possibilities are so obvious. The possibilities are in the fit between theme and plot. Therefore, the theme may be independently discovered by other authors searching for ways to create narrative sequence. Although I am not prepared to investigate the texts Girard analyzes and I have said I would leave the mechanics of influence to more learned scholars, I cannot help suggesting this is the truth: Cervantes's creative energy moves effortlessly through Western culture because the plot he discovered is so filled with possibilities. Other authors must imitate it, intentionally or accidentally, because the idea of a man making his life a story by pretending it is a story fits so well the necessities of narrative sequence. Since all narratives need triangles (because all narratives need syntagmatic structure), a particularly effective paradigmatic structure) can appear in many different narratives. If we have an anthropological understanding of narrative (as Girard does) we will argue (as Girard implies) that the theme of mediated desire appears in so many narratives because it is such a common phenomenon in man's culture. If we have a structuralist understanding of narrative, we can argue that the theme

of mediated desire appears in so many narratives because it makes the character such an excellent accomplice for the discourse.

It seems we are moving closer to a description of the model that generates Don Quixote: we have linked the triangle of narrative sequence structuring all narratives to the theme that, at least Girard believes, characterizes the Quixotic Novel.

I want to modify Girard's theory a little more, however. I am thinking about the novelistic sequences diagrammed above and I believe move a little closer to the "deep structure" of Don Quixote if we see the characteristic that makes Quixote such an excellent accomplice for the discourse as something other than his tendency to desire through mediation. This tendency is actually one manifestation of another, more basic tendency, a tendency Quixote explains in what is to my mind his most important speech.

The speech takes place in I, 25, when Sancho and Quixote are discussing the Dulcinea del Toboso. Sancho has just learned that the girl the knight has been ranting about is only Aldonza Lorenzo, a girl Sancho knows from the village. Sancho says,

"I must confess the truth, Senor Don Quixote, that up to now I have been laboring under a great mistake; for I thought, right enough that the lady Dulcinea must be some princess with whom your Grace was smitten... But, come to think of it, what is there about

Mistress Aldonza Lorenzo--I mean, Mistress Dulcinea del Toboso--that those conquered ones whom your Grace sends to her should bend the knee before her? For at the moment they arrive she may very well have been dressing flax or thrashing in the granery, and they would run away when they saw her and she'd be annoyed by the present." (p. 205)

Don Quixote's reply to this attack is a masterpiece. It is, I think, his most enlightened moment. He begins modestly, "Sancho, I have told you many times before that you are much too talkative," moves into an analysis of poets and ladies, and says,

"Not all the poets who praised their ladies under names of their own choosing had such mistresses. Do you think that the Amarillises, the Phyllises, the Sylvias, the Dianas, the Galateas, the Filidas, and all the others of whom the books, ballads, barbershops, and theatres are full were in reality flesh-and-blood women who belonged to those that hymned their praises? Certainly not; most of the writers merely invented these creatures to provide them with a subject for their verses in order that they might be taken for lovelorn swains and respected as individuals capable of an amorous passion. And so it is enough for me to think and believe that the good Aldonza Lorenzo is beautiful and modest...I am content to imagine that what I say is so and that she is neither more nor less than I picture her and would have her be...And let anyone say what he likes; if for this I am reprehended by the ignorant, I shall not be blamed by men of discernment." (p. 206)

This is Quixote's most enlightened moment because what he is doing here is arguing for the right to be a character who participates in a narrative. He is arguing for the right to be an accomplice of a discourse. He knows Aldonza Lorenzo is no princess, but he also knows that to make his life a story he must pretend that she is. Pretense, Quixote knows,

leads to action. Pretense is necessary. It is heuristic. One must be respected as an individual capable of amorous passion; one must have a subject for one's verses. Men of "discernment" are those who realize the pretense is heuristic. The pretense is justified because it leads to adventure. Quixote here reveals that he knows he is living a lie, but he also knows it is a useful lie. The lie leads to exploration and discussion. In his pretense he makes himself a character a scribe can write about.

This is real germ of quixotism: heuristic pretense. Don Quixote says to the characters in the novel, "Let's pretend this is a story," and the characters cannot resist joining in his pretense. Again, if we have a realistic view of character, we can say that the various characters, Sanson Carrasco, Dorothea, the Duke and Duchess, the cousin who escorts Quixote to the Cave of Montesinos, have various psychological reasons for joining in Quixote's pretense, for being infected by the germ of quixotism (Sanson admires knighthood, Dorothea loves the book of chivalry, the Duke and Duchess are sadists, the cousin is a pedant). If we have a realistic view of discourse, however, we can better explain the phenomenon: the characters are in a story. The characters can only survive in the discourse if they make themselves accomplices of the discourse. Those who will not pretend, who will not adopt the lie for heuristic reasons, disappear quickly from the narrative.

This is what I meant earlier when I mentioned the possibility that the character has an "instinct for preservation" (#23 above). The characters survive in this novel only as long as they will join the hero in pretending it is a story. But, we can give the characters more credit than that. We can grant them a little "free will." In pretending they are living a story, the characters do make their lives stories.

The best evidence for the truth of this last point is a speech Sancho makes to his wife in I, 52, when he tries to explain to her what he has been doing. Sancho and Don Quixote have just returned to La Mancha from their adventures and Teresa cannot understand all this talk of chivalry. Sancho defends himself. In this sequence Sancho does not speak as a fool deluded by a madman's promises. He does not use the promise of the governorship to defend his actions. He is allowed to speak here as an enlightened hero. Heuristic pretense leads to exploration, he understands, and exploration is good for its own sake. He explains:

There is nothing in the world more pleasant than being a respected man, squire to a knight-errant who goes in search of adventures. It is true that most of the adventures you meet with do not come out the way you'd like them to, for ninety-nine out of a hundred will prove to be all twisted and crosswise. I know that from experience, for I've come out of some of them blanketed and out of others beaten to a pulp. But, all the same, it's a fine thing to go along waiting for what will happen next, crossing mountains, making your way through woods, climbing over cliffs, visiting castles...(p. 459)

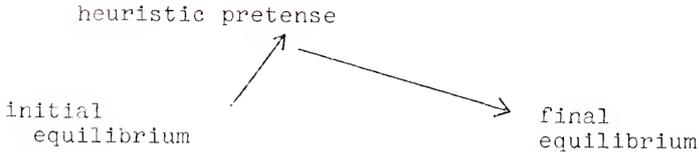
Sancho knows the pretense is false, or at least very inaccurate--"ninety-nine out of a hundred will prove to be all twisted and crosswise"--but he also knows that the pretense does him good--"it's a fine thing to go along waiting for what will happen next..."

Sancho's speech here points to one of the ironies that is engendered in the novel because of its particular structure (heuristic pretense being used to generate narrative sequences). The pretense must be, to a certain extent, validated. Quixote's pretense that he is living a story makes his life a story. Sancho's partnership with Quixote, intended to lead to adventure, leads to adventure. Although ninety-nine of a hundred adventures come out "crosswise," they are adventures.

But, I turned to Sancho's speech here because I want to go back to the triangles of novelistic sequences. It is clear that we can place Quixote's heuristic pretense into the madness sequence (Quixote's pretense that he is a knight sets that sequence into motion) and Sancho's heuristic pretense into the partners sequence (Sancho's- pretense that he is squire sets the partners sequence into motion). Can we find heuristic pretense in the other novelistic sequences and so draw a fairly simple model of Don Quixote? Can we see the landscape of Don Quixote in the bean of heuristic pretense? The answer to both these questions is, unfortunately: not quite.

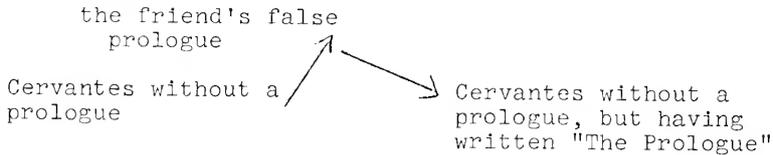
There is at least one more novelistic sequence generated by heuristic pretense: it is the self-conscious narrator sequence. Here it is Cervantes who moves into action through a lie. The first sequence of the self-conscious narrator occurs, actually, before the narrative of Don Quixote begins. Cervantes first adopts the heuristic pretense that he can be interrupted in his narration by an "intermediary" in "The Prologue." He tells us first that he cannot think of any proper prefatory dedications, poems, or comments to use as the prologue to his tale. He is stopped, unable to write, when a "very clever friend" comes into his study. The friend listens to Cervantes's problem and comes up with a solution: the prologue can be faked. The friend gives Cervantes some quotations and poems to attach to the book and, although he has not read the book, he even tells Cervantes what his purpose was in writing it. "I was so impressed by his reasoning," Cervantes concludes, "that...I decided to make use of his arguments in composing this prologue..." (p. 16).

Now this progression may seem very different from the progression Quixote makes from madness to sanity or the progression Sancho makes from lack of wits to love of his neighbor, but actually all three progressions can be seen as sequences generated by the same model of narrative structure, the model we can diagram as:



This diagram is, I believe, the best sketch of the model of Don Quixote I can offer. If the landscape of Don Quixote can be seen in a bean, this is, I think, that bean. We see in the triangle above the spirit of Don Quixote as he makes his way through the adventures and the spirit of Sancho Panza as he accompanies his mad master. We can also see in the triangle above the spirit of Cervantes, the narrator: he writes his masterpiece by the continual invocation of heuristic pretense. "The Prologue" is the first example and it represents, in miniature, much of what follows in the self-conscious narrator sequence.

We can diagram the sequence in "The Prologue" as:



Just as Don Quixote makes his life a story by pretending it is one, Cervantes in that opening passage give us "The Prologue" by pretending he has written a prologue. Actually, "The Prologue" he gives us is no closer to being a real prologue than Quixote is to being a real knight. "The Prologue" is a lie, but it is, like Quixote's chivalry, a useful lie. By interrupting himself to tell us about the "very clever

friend" Cervantes manages to give the narrative sequential energy and get himself through the writing of "The Prologue." Instead of saying, "I was so impressed with his reasoning that...I decided to make use of his arguments in composing this prologue..." he might have more closely paraphrased Sancho's explanation of his own heuristic pretense, "Ninety-nine of hundred percent of this prologue is all twisted and crosswise, but, all the same, it is a fine thing."

In their enlightened moments Don Quixote, Sancho Panza, and Miguel Cervantes understand the value of heuristic pretense: A pretense creates energy; it can be adopted for heuristic reasons because it makes narrative. Quixote, Sancho, and Cervantes are engaged in creating narrative and heuristic pretense is their most effective tool.

Unfortunately, the description of the model that generates Don Quixote must end here. It would be exciting to find that the remaining two novelistic sequences were generated by the triangle drawn by "initial equilibrium," "heuristic pretense," and "final equilibrium": it could then be argued that a simple structure was the basis for the five novelistic sequences that seem to form the design of Don Quixote. We could then argue that all narrative sequences in the novel were generated from that simple structure and that we had certainly described the model that structures the text. The text, of course, is not that simple. It cannot be argued that the hero/fool sequence and psychology sequence are generated by that

triangle and there are all kinds of other problems, which, I am sure, my reader has been noticing. For one thing, it is too easy an explanation to say that Don Quixote is a knight by pretense: that is true perhaps in his speech above, and in other moments we might call his "most enlightened" moments, but there are many times in the novel when he truly believes he is a knight. Sancho, too, is only "enlightened" from time to time; throughout much of the text his actions can only be explained by his "lack of wits." We could argue that the two heroes' pretenses are only "pretenses" from the point of view of the narrative; in other words, the characters' role-playing must be understood from an analyst's point of view, not from the character's own point of view. But, this argument has been carried far enough. Cervantes's complex role as narrator also should not be too simply explained. Each time he adopts self-consciousness and uses one of the interruptions of the intermediaries to move his narrative along he is using a heuristic pretense, but there are other moments, many other moments, when his role as narrator is controlled by other factors: he is not always pretending that he is a Moorish translator or an Arab liar, and he is not always only pretending to write a satire of the books of chivalry; sometimes, often, he writes un-self-consciously and in a few moments, at least, his novel is a satire of the books of chivalry.

So, for these and other reasons, I think it is best not to press my description of the model too far. I believe the descent here toward the "deep structure" has been in the right direction and I think the triangle described does have much to do with the structure of the text. The other patterns and formulas, found and noted along the path, are also worth describing. It is best not to attempt to oversimplify the problems of analysis or the complexities of the "surface" of the text, however. It is best to say, I think: Don Quixote is a complex of patterns; many of the patterns can be described and recognized; the triangle drawn by "initial equilibrium," "heuristic pretense," and "final equilibrium" is certainly part of the map of the model that generates Don Quixote; but the complete description of that model still needs to be done.

In my next chapter I will argue that the formulas and patterns found in these last two chapters can be found in other Quixotic Novels. They are, I will argue, what Barthes calls "mobile fragments," units in the system of the Quixotic Novel that help us "articulate" that system.

NOTES

1. Roland Barthes, S/Z, trans. Richard Miller, (New York: Hill & Wang, 1974), p. 135.
2. Ibid., p. 15.
3. Vladimir Propp, Morphology Of The Folktale, trans. Laurence Scott (2nd ed., Austin, Texas: University of Texas Press, 1968), p. 25.
4. In the original Spanish the passage reads: "...sin querer hacer nueva experiencia della, la diputo y tuvo por celada finisima de encaje."
5. Claudio Guillen, "Toward A Definition Of The Picaresque," Literature As System: Essays Toward The Theory Of Literary History (Princeton, N. J.: Princeton University Press, 1971), p. 89.
6. Barthes, "An Introduction To The Structural Analysis Of Narrative," trans. Lionel Duisit, New Literary History (Winter 1975: VI, 2), p. 260.
7. Gerald Brenan, "Cervantes," Cervantes: A Collection Of Critical Essays, ed. Lowry Nelson, Jr. (Englewood Cliffs, N. J.: Prentice-Hall, 1967), p. 16.
8. Barthes, S/Z, p. 135.
9. E. C. Riley, "Quixotic Gestures," Times Literary Supplement (No. 3886, Sept. 3, 1976), p. 1066.
10. Leo Spitzer. "On The Significance Of Don Quixote," in Cervantes: A Collection Of Critical Essays, p. 91.
11. Lionel Trilling, "Manners, Morals, And The Novel," The Liberal Imagination (Garden City, N. Y.: Doubleday, 1954), p. 202.
12. John J. Allen, Don Quixote: Hero Or Fool? (Gainesville, Fl.: University Of Florida Press, 1969).
13. Ibid., p. 12.
14. Barthes, S/Z, p. 3.
15. Robert Scholes, Structuralism In Literature: An Introduction (New Haven: Yale University Press, 1974), p. 148.

16. Barthes, "An Introduction To The Structural Analysis Of Narrative," pp. 238-239.
17. Barthes, S/Z, p. 3.
18. Scholes, p. 157.
19. Ibid., p. 158.
20. Tzvetan Todorov, "Structural Analysis Of Narrative," trans. Arnold Weinstein, Novel: A Forum On Fiction (Fall, 1969: III, 1), p. 71.
21. Norman Holland, Five Readers Reading (New Haven: Yale University Press, 1975) is reviewed by C. Barry Chabot in "...Reading Readers Reading Readers Reading...", Diacritics (Fall, 1975), pp. 24-31.
22. Rene Girard, Deceit, Desire, And The Novel, trans. Yvonne Freccero (Baltimore: Johns Hopkins Press, 1965), p. 52.
23. Todorov, The Fantastic: A Structural Approach To A Literary Genre, trans. Richard Howard (Cleveland: The Press of Case Western Reserve University, 1973), p. 163.
24. Triadic systems, it should be noted, appear elsewhere in structuralist theory. Levi-Straus has proposed "le triangle culinaire" in L'Origine Des Manieres De Table (Paris: Plon, 1968). Claude Bremond has described triangles in narratives: cf. "La logique des possibles narratifs," Communications 8 (1966) pp. 60-76, and "Le message narratif," Communications 4 (1964), pp. 4-32.

CHAPTER FIVE
MOBILE FRAGMENTS: ELEMENTS OF THE NARRATIVE
SYSTEM OF THE QUIXOTIC NOVEL IN MOBY DICK,
MADAME BOVARY, MIDDLEMARCH
AND THE GREAT GATSBY

1. Mobile Fragments

Roland Barthes described "the structuralist activity" in an essay written in 1963:

The structuralist activity involves two typical operations: dissection and articulation. To dissect the first object...is to find in it certain mobile fragments whose differential situation engenders a certain meaning; the fragment has no meaning by itself, but it is nonetheless such that the slightest variation wrought in its configuration produces a change in the whole...

Examples of "mobile fragments" include: "a square by Mondrian," "the 'mytheme' in Lévi-Straus," "the phoneme in the work of the phonologists," and "the 'theme' in certain literary criticism." These "mobile fragments" or "units" can be grouped into certain classes or paradigms. "What characterizes the paradigmatic object, "Barthes explains,

is that it is, vis-a-vis other objects of its class, in a certain relation of affinity and of dissimilarity: two units of the same paradigm must resemble each other somewhat in order that the difference which separates them be indeed evident...

The second operation is "articulation":

Once the units are posited, structural man must discover in them or establish for them certain rules of association: this is the activity of articulation...¹

I should say here that, although I have done it often in this study, I am always relectant to cite Barthes as a source--first, because I am seldom certain I completely understand his arguments and, second, because those arguments are usually so intricate that passages out of context do not do them justice. That is especially the case here and the reader interested in the complexities of Barthes's analysis of "the structuralist activity" is asked to consult the complete text. Another problem with beginning the last chapter with the description above is that I said earlier (Chapter One) I would not try to describe the analysis in this study as "structuralist." Still, I cannot resist using the description above as a starting point for the final chapter. I will not argue now that this study qualifies as a "structuralist activity," but in this chapter I do intend to suggest that the analysis in the last two chapters has been something like the "dissection" Barthes describes: the examination of Don Quixote has led to an identification of certain units which can be found in at least four other Quixotic Novels: Moby Dick, Madame Bovary, Middlemarch, and The Great Gatsby. This last chapter will be something like an "articulation": by observing how the units reappear in other Quixotic Novels we can begin to establish certain "rules of association";

we can begin to see how variations in the configurations of these units make changes in meanings.

I should add one more caveat: this chapter is not intended to be a complete description of any one of the four novels named above. No reader interested in a reading of Moby Dick, Madame Bovary, Middlemarch, or The Great Gatsby will be satisfied by the following discussion. An analysis from the point of view of the narrative of any of these individual novels would take at least as many pages as the analysis of Don Quixote has taken. This chapter is meant to be an "articulation" of the narrative system present in each of these novels: I am trying to note the similarities and differences in the ways the novels manifest the units identified in the last two chapters; I am not trying to give a reading of any individual novel.

What is especially useful about Barthes's definition of the "structuralist activity" above is his description of the units as "mobile fragments." This is the first discovery we make when we turn from Don Quixote to the other novels. The units identified in Don Quixote are only fragments of the system that generates the Quixotic Novel: they are units in a system that has not been, and probably cannot be, fully catalogued. And, these units are mobile: although many of them reappear in each of the other novels, their configurations have changed.

We see this immediately when we try to find in the other novels the three-tiered system of narrative sequences found in Don Quixote--the three levels of atomic, episodic, and novelistic sequences. It is not repeated in exactly the same way in any of the four novels under consideration. Moby Dick has episodes that work in one way like the episodes in Don Quixote: Ishmael's meeting with Queequeg ("The Spouter Inn," Chapter 3), Father Mapple's sermon ("The Pulpit" and "The Sermon," Chapters 8-9), and Queequeg's fast ("The Ramadan," Chapter 17), for three examples, work like "The Dubbing" and "The Galley Slaves" in Don Quixote in that they seem to be independent sequences, sequences that operate for their own sakes; we could detach any of them from the narrative and read them alone: they are tales-within-the-tale. But there is an important difference between the episodic sequences in Melville's novel and the episodic sequences in Cervantes's novel: analysis showed that most of the episodes in Don Quixote were generated by the formula $Q \rightarrow V \rightarrow Q/V$; this is not the case in Moby Dick. We do not even encounter the quixote in Moby Dick until Chapter 28 when Ahab is seen for the first time by Ishmael and Ahab's quixotism is not evident until Chapter 36, "The Quarter Deck," when he hammers the gold piece to the mast. By that time, of course, all of the episodes above, and many others, have taken place. The second-order sequences in Moby Dick do not depend on the formula $Q \rightarrow V \rightarrow Q/V$.

The arrangements of narrative sequences in the other three novels are even less like the arrangement in Don Quixote. Although there are sequences in both Madame Bovary and The Great Gatsby we could loosely call "episodes"-- Hippolyte's operation, for example, in the former and Gatsby's meeting with Daisy at Nick's house in the latter--the sequences do not seem as detachable as the episodes in Don Quixote and Moby Dick: they do not seem to be tales-within-the-tale. These sequences are more closely linked to the developments in the larger narrative; they seem to be indivisible parts of the novel. I argued earlier that "The Dubbing" seems like a digression (Chapter Four, #7); the same could be said of the episodes from Moby Dick above: we must be patient readers when we read "The Dubbing" or "The Ramadan"; we must be willing to follow the narrative as it veers away from the main line of the narrative (Quixote's progress from madness to sanity, Ahab's pursuit of the White Whale) into episodic sequences. In Don Quixote and Moby Dick novelistic progress is slow. We do not have this sense as we read Madame Bovary and The Great Gatsby: these novels contain much more economical narratives. The episodes in these two novels are not digressions: they are integral parts of the narrative.

Middlemarch is another case. Here there are secondary plots--Lydgate's story, Fred Vincy's and Mary Garth's story, Bulstrode's story--but none of these stories is an independent episode. Each of them is the equivalent in length to the

novelistic episodes identified in Don Quixote; and they are interwoven much more intricately than the tales-within-the-tale of Don Quixote are interwoven: the dénouement of Lydgate's story, for instance, is closely related to the dénouement of Bulstrode's story. Many characters in Middlemarch have roles to play in several of the tales-within-the-tale. (There are only a few characters other than the two heroes who appear in more than one episode in Don Quixote.) Also, we cannot say that $Q \rightarrow V \rightarrow Q/V$ generates most of the tales-within-the-tale of Middlemarch: only Dorothea's story, I will argue, involves a quixote, quixotic aggression, a victim, and self-victimization.

So, one structure the analysis in Chapters Three and Four identified as part of the system of the narrative in Don Quixote is not a "mobile fragment" in the system of the Quixotic Novel: the three-tiered structure of Don Quixote is not repeated in a similar form in the other novels. But, the "fragments" are "mobile." We can find the formula $Q \rightarrow V \rightarrow Q/V$ and the spheres of action of quixote, victim, bystander, and manipulator if we look at the longer sequences in the other novels. These are "mobile fragments": the formula and the spheres of action have moved so they are not part of the episodic sequences, but they are present in the other novels and they do seem to be units in the narrative system of the genre.

Quixotes And Victims:

The formula $Q \rightarrow V$ and the variations described in Chapter Three generate narrative sequences in each of the four novels. Quixotes in each narrative create disequilibriums by tilting into aggressive action and victimizing themselves and others.

The narrative of Middlemarch is set into motion when Dorothea Brooke charges into marriage with Casaubon in the mistaken belief that it will be a grand life. Her immediate victim is Sir James Chettam who is forced to abandon his hopes of wedding her, but, of course, as is the case often with the quixote, her eventual victim is herself. Dorothea traps herself into a marriage with a mediocre bore.

While Dorothea makes just one act of quixotic aggression, Emma Bovary engages in a series of aggressive actions: she forces Charles to leave Tostes for Yonville; she flirts with Léon; she sleeps with Rodolphe; she sleeps with Léon; she spends money lavishly. Charles and Berthe are the immediate victims of most of these actions (they are--usually--ignored and unloved), but Emma eventually victimizes herself.

Jay Gatsby's act of quixotic aggression is his attempt to relive the past. To win back Daisy he spends five years of his life and all his energy making himself a successful criminal so he can have the money to waste in impressing her. When, in the climactic confrontation scene in the hotel

(Chapter 7) Daisy turns to Gatsby and says, "Oh, you want too much!", she declares herself a victim of the quixote's aggression. She and Tom are momentarily injured by the quixote's interference in their lives, but, like many of Don Quixote's victims, they have large powers of retaliation. In The Great Gatsby, as in Don Quixote, Moby Dick and Madame Bovary, the final restoration of equilibrium means the death of the quixote: Tom and Daisy re-establish their relationship in the final narrative movement and Gatsby is killed.

There is a single grand $Q \rightarrow V$ in Moby Dick: Ahab's quixotic pursuit of the White Whale. Again, the arrow is an especially good typographical symbol to represent the quixote's aggression: Ahab's harpoon is clearly the equivalent of Don Quixote's lance. And, Moby Dick is as resilient a victim as the windmills. Like the windmills, the whale absorbs the quixote's aggression, withstands the thrust of the quixote's spear, and crushes the mad man. The victims most injured by the quixote in Moby Dick are, of course, the crew members of the Pequod. All except Ishmael die because of Ahab's quixotism.

One way in which the configuration of $Q \rightarrow V \rightarrow Q/V$ changes in the other novels, then, is that it grows longer. The formula is only to be found if we look at the longer narrative sequences. Whereas Don Quixote engages in a series of independent $Q \rightarrow V \rightarrow Q/V$ episodes, most of the other quixotes

engage in just a single such episode: we must read to the end of Moby Dick before we see Ahab victimize himself; we can find only one victim of Dorothea's aggression in all of Middlemarch--Chettam; and the self-victimization in Gatsby's story is a single incident. (Emma Bovary does experience at least one other self-victimization besides her suicide--when Rodolphe leaves her. Her affair with Rodolphe is a shorter $Q \rightarrow V \rightarrow Q/V$ within a longer one.)

There are other differences in configuration of the formula, however. In fact, how the formula is used in each novel has much to do with our final understandings of each quixote.

Gatsby is a more sympathetic quixote because in his story the $Q \rightarrow V$ part of the sequence is suppressed. We witness little of his aggression directly. The narrative could easily have contained some sequences in which Gatsby's criminal activities victimized others. But, these activities are kept off-stage and we get only a few hints about his criminal aggression (we learn from Tom Buchanan, for instance, that Gatsby left Walter Chase "in the lurch," Chapter 7). The only victims we see Gatsby directly confront with his quixotic aggression are Daisy and Tom. They are unsympathetically portrayed throughout (Tom is perhaps the one character in all these Quixotic Novels who most deserves to be victimized) and their powers of retaliation are much stronger than the quixote's aggression. The $\rightarrow Q/V$ part of the sequence is

emphasized in this novel: our sympathies are with Gatsby when he waits under Daisy's window after the accident and she reconnoiters with Tom inside, when he waits for her to call the next day, and finally when he is shot by Wilson.

Dorothea Brooke is probably the most sympathetic of the quixotes under consideration here. One reason (there are others, to be discussed) is that the $Q \rightarrow V$ in her story is almost completely suppressed. It occurs very early in the novel and Chettam recovers quickly and easily from his victimization by the quixote: he wins Celia's hand and goes on to have a happy marriage. The self-victimization in Dorothea's story is emphasized: Dorothea's discovery that she has been deluded about Casaubon comes slowly and painfully. We witness several exchanges between husband and wife in which Dorothea must confront the fact that her marriage is not "the really delightful" one she imagined it would be, "where your husband was a sort of father, and could teach you even Hebrew, if you wished it," (I, 1). We also witness through Dorothea's consciousness the difficult night she spends trying to decide whether she will promise to obey Casaubon's last wishes (V, 48). Because the damage she does by her quixotic aggression injures herself much more than it apparently injures her only victim, because the configuration of the formula is a weak $Q \rightarrow V$ and an emphatic $\rightarrow Q/V$, Dorothea is a sympathetic quixote.

Emma Bovary is less sympathetic than Dorothea, because her victims, Charles and Berthe, are not given the compensation for injury the narrative gives Chettam, but she might easily have been much less sympathetic. Again, the victimization in the sequence is subdued while the self-victimization is emphasized. Just as the narrative of The Great Gatsby might have contained some episodes in which Gatsby's criminal aggression was evident, the narrative in Madame Bovary might have contained some episodes in which Emma was really cruel to her daughter. Of course, it is patently clear that Gatsby must be a ruthless crook and Emma must be a bad mother, but Gatsby's bootlegging and Emma's mothering are kept off-stage. We learn about each mostly through innuendos (when Emma suddenly is attentive to Berthe, after reading the letter from her father in II, 10, and hugs and kisses the girl, the maid stands "gaping at this overflow of affection."²) Emma's self-victimization, like Dorothea's, is carefully described and emphasized. We follow her and must sympathize with her as she goes from Léon to Binet to Rodolphe for help and is rejected by each. Her slow death-by-poisoning is the most torturous (and most detailed) agony any of these quixotes suffers.

When we examine the configuration of the formula $Q \rightarrow V \rightarrow Q/V$ in Moby Dick, we can see why Ahab is the least sympathetic of these quixotes. In that story the reader is kept at a distance from the quixote because, right at the end, Ahab victimizes one more innocent victim.

The incident is "The Pequod Meets The Rachel," Chapter 128. It seems to me that there is no other reason to introduce this incident but to remind the reader of the harm the quixote's aggression can do. In the other novels we are allowed to forget the harm the quixote can do as we witness him move toward his final → Q/V. The other quixotes gain our sympathies as their aggression is turned against them in the end. We sympathize with Don Quixote when he is beaten by Sanson Carrasco and must go home to sanity; we sympathize with Gatsby when he is left standing in the driveway waiting for Daisy; we sympathize with Emma as she goes from Léon to Binet to Rodolphe for help; we sympathize with Dorothea as she settles into her dismal life at Lowick. In Moby Dick, however, with the incident of "The Rachel" the narrative makes certain Ahab will not gain much of our sympathy. The captain of the Rachel has lost his son in a drifting whale-boat. He begs Ahab for help,

"For eight-and-forty hours let me charter your ship--I will gladly pay for it, and roundly pay for it--if there be no other way--for eight-and-forty hours only--only that--you must, oh, you must, and you shall do this thing."

But Ahab stands "like an anvil." He has heard that the White Whale is somewhere in nearby waters and he can think of nothing else at this moment but of releasing his aggressions. He does not break, even when the captain continues, "Do to me as you would have do to you in the like case. For you too have a boy, Captain Ahab..." Ahab's answer is given in a voice "that prolongingly moulded every word":

"Captain Gardiner, I will not do it. Even now I lose time..."

There is no such similarly-placed incident in any of the other novels.

Just as the Q → V is emphasized here, the →Q/V is presented so that we feel little sympathy for Ahab. We do not move inside the quixote's consciousness (as we do in Middlemarch and Madame Bovary) to experience the self-victimization from the quixote's point-of-view. And Ahab's death is sudden and undetailed. While Emma must suffer several pages of agony on her deathbed, Ahab dies in two straightforward sentences:

The harpoon was darted; the stricken whale flew forward; with igniting velocity the line ran through the groove;--ran foul. Ahab stooped to clear it; he did clear it; but the flying turn caught him round the neck, and voicelessly as Turkish mutes bowstring their victim, he was shot out of the boat, ere the crew knew he was gone. (Chapter 135)

All of this analysis of quixotes and victims is possible because these two spheres of action are important elements in the narrative system of the genre of the Quixotic Novel; they are, in Barthes's words, "mobile fragments," "whose differential situation" engenders meanings. Our understandings of each of these quixotes is determined, to a large extent, by the configuration of the formula in each narrative.

The other two spheres of action identified in the episodes in Don Quixote are also important elements in the narrative system of the Quixotic Novel. Analysis of how the

spheres of action of the bystander and the manipulator are used (and not used) in the other novels helps us to understand those novels.

Bystanders And Manipulators

The sphere of action of the bystander appears in each of the four novels. In this role, as defined in Chapter Three above, the character witnesses the confrontation between the quixote and the victim and tries (usually) to interfere. The bystander's sphere generates narrative by delaying or amplifying the action. Nick Carraway plays the bystander in The Great Gatsby when he warns Gatsby (Chapter 6), "I wouldn't ask too much of [Daisy]. You can't repeat the past." As in Don Quixote the discourse's "instinct for preservation" dictates that the bystander's warning must be ignored: "Can't repeat the past!," Gatsby replies incredulously, "Of course you can!"

If the bystander prevented the quixote from tilting into action, the energy generated by the quixote's aggression would evaporate. If Gatsby listened here to Nick's advice in Chapter 6, there would be no Chapter 7. This is another instance where Barthes could observe that "the discourse rather the characters determines the action."³ Gatsby is not free to heed Nick's warning just as Sarrasine is not free to heed "the Italian's" warning (Chapter One). The bystander's interference with the quixote does not create an

opportunity for the quixote to listen to common-sense. The quixote has no free will: Gatsby must believe you can repeat the past: "the mechanism of the story must function to its end."⁴ The bystander's interference creates static energy in the narrative. The alert reader, who has read the same scene in other Quixotic Novels, recognizes the exchange for what it is: it is a hesitation in the narrative, a moment used to build suspense for the inevitable resolution of disequilibrium. The alert reader knows Gatsby cannot and will not listen to Nick's warning: the quixote must go on to victimize himself.

Of all the characters in the four novels who can be called "Sancho-figures," Nick Carraway is the most Sancho-like from the point of view of the narrative. This is because he is as flexible as the farmer. Like Sancho he can perform in different roles. When the narrative needs a character to perform as bystander (as in the scene above) Nick is available. When the narrative needs a co-quixote, a character to sympathize with the quixote and to aid him in quixotic action (as it does when Nick arranges Gatsby's meeting with Daisy in Nick's house) Nick serves. Nick's understanding of Gatsby and his feelings about Gatsby oscillate as the narrative goes on, just as Sancho's understanding of Quixote and his feelings about his master's quixotism oscillate as the narrative goes on. The story's interest is served by these oscillations because they mean that Nick and Sancho can

fit into the narrative formula in different ways. Each can speak common-sensibly (or critically) as a bystander or participate (at least partially) with the quixote in an act of quixotic aggression as the co-quixote. Nick can warn Gatsby against trying to repeat the past on one occasion and try to help him repeat it on another.

The narratives in Middlemarch, Moby Dick, and Madame Bovary distribute among several characters the roles the narratives of Don Quixote and The Great Gatsby assign to one character. Thus, in Eliot's, Melville's, and Flaubert's novels there are many different characters who seem like "Sancho figures." Some of them are consistently bystanders, trying to prevent the quixote from engaging in aggressive action; a few are manipulators, trying to stimulate the quixote's aggression for their own ends; other "Sancho figures" are co-quixotes, responding to the quixote's aggression with sympathy and, in a few cases, with aggression of their own.

One consistent bystander in Middlemarch is Celia Brooke. In contrast to Nick Carraway, Celia shows no flexibility of function. Throughout the novel she plays only the single role of bystander; she functions only as a speaker of common-sense; not once does she sympathize with, or participate in, quixotic action. Several scenes are staged (most are early in the book) where the narrative creates static energy between the bystander and the quixote. Celia tries to prevent

Dorothea from misperceiving Casaubon by trying to get her to see the immediate reality of the man--how he slurps his soup, blinks, has moles. Celia's action is to no avail, of course; the quixote is not free to heed the warning of the bystander. To serve the story's interest, Dorothea must misperceive Casaubon as badly as Don Quixote misperceives the windmills--or, to use George Eliot's own analogy, as badly as Don Quixote misperceives the barber's basin. (Eliot's epigraph to Chapter 2 in Middlemarch, the chapter in which Dorothea first sees Casaubon as the great man he is not, is the passage from Don Quixote when the mad knight sees the barber's basin and tells Sancho, "...that resplendent object is the helmet of Mambrino," [I, 21] .)

There are no manipulators, as far as I can tell, in Middlemarch and no real co-quixotes. Dorothea's germ of quixotism is the least contagious of any of the quixotes under consideration. In each of the other narratives characters are at least temporarily infected by the quixote's quixotism. In Middlemarch no character is infected in this way. Casaubon may seem a little "quixotic" since he misperceives mythologies (thinking he can find the "Key" to them), but he does not display the kind of quixotic aggression that characterizes Don Quixote and the other quixotes. Lydgate is something else entirely; I will return to him in another section.

One can explain from the point of view of the narrative the fact that Dorothea's quixotic germ does not infect others: Middlemarch's narrative, unlike each of the other four novels here, does not depend on the story of the quixote for its central plot. Although Dorothea's story sets the narrative into action, and she is as important a character as any other in the novel, the stories of Lydgate, Fred Vincy and Mary Garth, Bulstrode, and the rest contribute as much (or almost as much) to the whole narrative as Dorothea's story does. The narrative of Middlemarch has other ways of generating discourse than by spreading the germ of quixotism to other characters.

In Moby Dick the bystander's sphere of action is filled by Starbuck. He is the Celia Brooke of that novel. Like Celia, Starbuck shows no flexibility of function: he has only one role to play--throughout the story he is only trying to convince the quixote to see common-sense, to forget his aggression against the White Whale and to get back to the business of whaling. Like Celia, Starbuck never once loses his grasp of immediate reality; not once does he sympathize with the quixote's aggression. And, like Celia's, Starbuck's plain thinking can sound like wisdom. "I am sure--at least I trust," Celia thinks to herself in the first chapter after Dorothea has somewhat self-righteously given her most of their mother's jewels, "that the wearing of a necklace will not interfere with my prayers." Starbuck's thoughts have

the same ring: "Vengeance on a dumb brute that simply smote thee from blindest instinct!," he says to Ahab after the captain has announced his quest, "Madness!" (Chapter 36) .

Among the other characters in Moby Dick, however, the quixote's quixotism spreads quickly. After telling the crew that the pursuit of the white whale "is what ye have shipped for," Ahab asks them,

"What say ye, men, will ye splice hands on it, now? I think ye do look brave."

"Aye, aye!," shouted the harpooners and seaman, running closer to the excited old man: "A sharp eye for the White Whale, a sharp lance for Moby Dick!" (Chapter 36)

"A wild, mystical feeling was in me," Ishmael explains (Chapter 41), "Ahab's quenchless feud seemed mine." If we have, to paraphrase Barthes's analysis again (Chapter Four above), a realistic view of character, we will look for motives to explain why Ishmael and the others are so taken with Ahab's feud (Ahab's satanic charisma, the thirst for vengeance in all men, etc.). If we have a realistic view of discourse, if we consider that the story must function to its end, we will say that the law of narrative decrees that the crew members must be infected . The ship must pursue the White Whale to serve the story's interest. If the crew listened to Starbuck's wisdom, the tale would end . The narrative of Moby Dick is unlike the narrative of Middlemarch in that it is almost completely dependent on the story of the quixote for its narrative energy. The stories of Ishmael, Queequeg, Pip, and the others do not seem like the secondary plots in

Middlemarch: they are not so much interwoven into one long tale as they are tales attached to the long tale of Ahab's pursuit of the whale . We can imagine the novel of Middlemarch without Dorothea's story: it would be less of a masterpiece, but the narrative would not disintegrate . We cannot imagine Moby Dick without Ahab any more easily than we can imagine Don Quixote without the mad knight. In these two novels, Harry Levin has pointed out, "The loose, large plot is integrated...by a single character: a monomaniac protagonist who dominates all that surrounds him."⁵

Actually, in fact, the spread of quixotism is even more necessary for the narrative of Moby Dick than it is for Don Quixote. Levin has observed, "The course set by the Pequod sailing across the high seas, continues and enlarges the pilgrimage of Rocinante ambling along the highroads of La Mancha."⁶ This is true, but it should also be noted that Rocinante carries only one man through the plot of Don Quixote . Characters who are susceptible to the germ of quixotism will last longer in the narrative (Sancho, Sanson Carrasco, the cousin who goes to the Cave of Montesinos), but Don Quixote is always moving on generating narrative sequences "along the highroads" with new characters. The narrative does not need to have every character susceptible to the quixote's germ. In Moby Dick, though, the vehicle that carries the narrative along is more difficult to operate: the Pequod can only

serve the story's interest if it is manned by co-quixotes. So, the narrative does something in Moby Dick that none of the other narratives do: the narrative has the quixote serve also as the manipulator. Ahab uses the quixotism of the crew members to serve his own ends. Soon after the crew has shouted their assent to his declaration that they have shipped to pursue the White Whale, Ahab thinks out loud,

"Twas not so hard a task. I thought to find one stubborn, at the least; but my cogged circle fits into all their various wheels, and they revolve. Or, if you like, like so many ant-hills of powder, they all stand before me; and I their match." (Chapter 37)

The effect of this change in the configuration of the formula is that Ahab is even less sympathetic. The manipulator is never sympathetic in the Quixotic Novel. (Madariaga calls the episode of "The Enchanted Dulcinea," the episode in which Sancho manipulates Don Quixote the "cruellest" adventure in the book [cf. Chapter Three above].)

The configuration of these spheres takes still another shape in Madame Bovary. First of all, the role of bystander is given to a character whose wisdom is subverted by the narrative. The only character in Flaubert's novel who tries to prevent the quixote from injuring innocent victims is Charles's mother, the elder Madame Bovary. She perceives the quixote as accurately as Celia Brooke and Starbuck do, and her conclusion is exactly the same one reached by some of the bystanders in Don Quixote: like the housekeeper, the

curate, and the barber, the elder Madame Bovary realizes that books are to blame for the quixote's madness. She tries to cure Emma in the same way the bystanders in Don Quixote do: she tries to keep the quixote from reading. Just as in Don Quixote, however, the quixote's madness has gone too far. The bystander cannot cure the quixote and the quixote's aggression proves too much for the bystander: Don Quixote escapes his trio of bystanders and Emma forces Charles's mother to leave. What is interesting here, though, is that the role of bystander is given to a character who does not gain our respect. The elder Madame Bovary is just as perceptive about the nature of the quixote's illness as the bystanders in the other novels, but her motives are suspect. We know she is possessive and has selfish reasons for trying to interfere in the life of the quixote. The motives of Celia, Starbuck, the housekeeper, the curate, and the barber are pure: they are trying to stop the quixote's aggression because they do not want to see the quixote hurt. Madame Bovary, on the other hand, seems to want to interfere in the confrontation between quixote (Emma) and victims (Charles and Berthe) out of spite. This is one reason (of many reasons) that Madame Bovary seems a more problematical book than Don Quixote. (It is, to my mind, the most problematical book of the five here.) Only two characters seem capable of speaking common sense. One is a minor character, Dr. Canivet, who shouts at Homais after the awful operation on Hippolyte,

"New fangled ideas from Paris! It's like strabismus and chloroform and lithotrity--the government ought to forbid such tomfoolery!" (II, 9) The other is Charles's mother who is given the wisdom of the bystander ("Everybody can't be rich!," she tries to tell Emma at one point. [III, 5] "No amount of money will last if you throw it out the window,"), but unlike the bystanders in the other novels she is not allowed to earn our respect.

The ratio of bystanders to manipulators is another interesting aspect of the configuration of the spheres of action in Madame Bovary. While there is only one character perceptive enough to want to prevent the quixote from victimizing others, there are at least three manipulators perceptive enough to know how to use the quixote's quixotism to their own ends. The most obvious manipulator is Rodolphe Boulanger. Rodolphe manipulates Emma in exactly the same way Sancho manipulates Quixote in "The Enchanted Dulcinea" episode: he knows and uses the magic words that will stimulate the quixote to move into action. Sancho uses the vocabulary of the books of chivalry to deceive his master; Rodolphe uses the vocabulary of the cheap romances to deceive his mistress. The act of manipulation is, in each case, a matter of deceitful seduction. The speech of the manipulator has the same ring in each novel:

"And what would I get by deceiving your Grace," Sancho wanted to know, "when you will soon enough discover for yourself whether I am speaking the truth or not? Come quickly,

sir, and you will see the princess, our mistress, clad and adorned as befits one of her quality. She and her damsels are one blaze of gold, pearls, diamonds, rubies, and brocade cloth with more than ten borders...(p. 569)

-- Qué sacaría yo de engañar a vuesa merced-- respondió Sancho--, y más estando tan cerca de descubrir mi verdad? Pique, señor, y venga, y verá venir a la princesa, nuestra ama, vestida y adornada; en fin, como quien ella es. Sus doncellas y ella todas son una ascua de oro, todas mazorcas de perlas, todas son diamantes, todas rubies, todas telas de brocado de más de diez alto-...(II, 10)

"What was the matter?," Rodolphe asked. "What came over you? I don't understand. You must have some mistaken idea. I have you in my heart like a Madonna on a pedestal--in an exalted place, secure, immaculate. But I need you if I'm to go on living! I need your eyes, your voice, your thoughts. I beseech you: be my friend, my sister, my angel!"

--Qu'aviez-vous donc? Pourquoi? Je n'ai pas compris. Vous vous méprenez, sans doute? Vous êtes dans mon âme comme une madone sur un piédestal, à une place haute, solide et immaculée. Mais j'ai besoin de vous pour vivre! J'ai besoin de vos yeux, de votre voix, de votre pensée. Soyez mon amie, ma soeur, mon ange! (II, 9)

The other two manipulators in Madame Bovary are Lheureux and Léon Dupuis. Although it may seem so, Emma herself is not a manipulator; I mean in the special sense I have been using the term, to describe the character who uses the quixote's aggression to serve his own ends. Emma manipulates Charles (when she convinces him to turn over to her the power of attorney, for instance), but she is taking advantage of Charles's natural passivity in those moments. The manipulator, by the definition I have been using, is the character who takes advantage of the quixote's natural aggression. Lheureux is a

manipulator in the strict sense: he uses Emma's quixotic aggression and misperception to serve his own ends. He knows Emma can be seduced by the Paris fashions and he knows she can be convinced to spend Charles's money.

Léon is a less villainous manipulator. It is not really accurate to group him with Rodolphe and Lheureux, in fact. Actually, like Nick Carraway and Sancho Panza, Léon displays a certain flexibility of function. He does manipulate Emma: he uses magic words in one of the best exchanges in the novel, when he convinces her to join him in the coach after they have met in the church (III, 1):

"It's very improper, you know," Emma said.

"What's improper about it?," retorted the clerk.

"Everybody does it in Paris."

It was an irresistible and clinching argument.

But, Léon is not a consistent manipulator. He plays the victim early in the book (being tormented by Emma's flirtation) and becomes a kind of secondary quixote in the last part of the book, where he makes the discovery all quixotes make: reality (the love of Emma) is not what he dreamed it would be. After a few months of adultery, Léon starts to think that "maybe the people who were urging him to break with her weren't so mistaken after all." He grows concerned about his reputation because he is about to be promoted to head-clerk. Finally,

it only bored him when Emma suddenly burst out sobbing on his breast: like people who can stand only a certain amount of

music, he was drowsy and apathetic amidst the shrillness of her love; his heart had grown deaf to its subtler overtones. (III, 6)

Emma is experiencing a similar deflation of her quixotic illusions. "She was as surfeited with him as he was tired of her. Adultery, Emma was discovering, could be as banal as marriage," (III, 6). The story of Léon as quixote counterpoints the story of Emma as quixote in the final section of Madame Bovary then. Each character is forced to confront dreary reality (the shrillness of love, the banality of adultery), but their stories take different turns. The restoration of equilibrium in Léon's case does not mean the death of the quixote. Léon is allowed to lose his quixotism and live on.

The example of Léon is a good one with which to end this discussion of the spheres of action because we see here the complexity of the narrative system of the Quixotic Novel. The spheres identified in Don Quixote do reappear in the other novels, but the system is not simple. Although in some cases characters perform in one sphere of action (Celia and Starbuck perform only as bystanders; Rodolphe and Lheureux perform only as manipulators), the system seems to be operating beneath the level of character. The spheres of action can shift from character to character to appear in the narrative in different configurations. (Nick Carraway plays both bystander and co-quixote; Leon plays victim, manipulator, and co-quixote.) The important thing is, however, that the spheres

are there. By observing how each narrative uses these "mobile fragments" we see that the novels under consideration do seem to be part of a system of narrative larger than the narrative system in each individual novel. Thus, we have a way of analyzing and comparing the novels and we have evidence that there is a system we can call the narrative system of the Quixotic Novel.

The analysis of Don Quixote identified five other elements in the narrative system of that novel: the five novelistic sequences--the madness sequence, the partners sequence, the hero/fool sequence, the psychology sequence, and the self-conscious narrator sequence. Because they are sequences and not spheres of action, these elements are harder to describe and much harder to trace, especially when the discussion must be as brief and broad as this chapter must be. At least two of them are, however, easily seen to be "mobile fragments" in the narrative system of the genre. When we examine the configuration of the madness sequences and partners sequences in Moby Dick, Madame Bovary, Middlemarch, and The Great Gatsby we see how the "differential situation" of these units engenders meanings in each of those novels.

The Madness Sequence

The madness sequence is an important element in each of the four novels under consideration, but in none of them does it frame the narrative in the way it frames the narrative

in Don Quixote. In the original Quixotic Novel the hero's madness begins in the first chapter and ends in the last chapter. We are told immediately that Don Quixote "went completely out of his mind," (p. 27) and when we finally read that he is cured he is on his deathbed and the novel is about to end. Thus, the narrative in the first Quixotic Novel can generate energy at any moment throughout the text by invoking the quixote's madness and creating disequilibrium.

It is interesting to compare the other novels to Don Quixote and to each other by comparing the lengths of the madness sequence in each. How long does the narrative reserve the right to generate energy by invoking the quixote's madness? It should be pointed out first of all, however, that none of the narratives, including Don Quixote, is completely dependent on the quixote's madness for disequilibriums and narrative sequences. In Don Quixote we have the interpolated tales, "The Goatherd's Story" (I, 12), "The Captive's Story" (I, 39-41), and others. In The Great Gatsby there is the story of Nick and Jordan Baker. In Moby Dick there are the various tangential adventures of Ishmael and Queequeg in the early chapters. In Madame Bovary we read, along with the story of Emma's quixotic madness, the story of Charles Bovary. Middlemarch, as I said earlier, seems least dependent on the story of the quixote and her madness; the secondary plots are as long as the story of Dorothea. So,

although none of the other Quixotic Novel repeats exactly the three-tiered system of narrative sequences of Don Quixote, none of them is a single, straightforward narrative sequence. All of them contain sequences within sequences. The relationship of the madness sequence to the whole narrative is, however, different in each novel; and the ways each narrative uses the madness sequence are worth examining.

In Don Quixote, since the quixote's madness is established immediately and the narrative reserves the right to invoke that madness at any point throughout the text the relationship of the madness sequence to the entire narrative can be diagrammed as a one-to-one ratio:

$$\frac{\text{madness sequence}}{\text{complete narrative}}$$

Moby Dick: Although there are a few clues about Ahab's madness earlier (in "The Prophet," Chapter 19, Elijah warns Ishmael about Ahab) so that the first-time reader is tilted into the narrative partly because he has been made curious about the captain (and thus Ahab's madness is creating disequilibrium indirectly), Ahab himself does not appear on-stage in the novel until Chapter 28 and his quixotic aggression is not evident until Chapter 36, when he hammers the gold piece into the mast and convinces the crew to join him in his quest for vengeance. From that moment on the narrative can generate sequences by invoking the quixote's madness ("The Pequod Meets The Rachel," the chapter discussed earlier is an example of a

sequence generated by the quixote's madness). The disequilibrium of madness is not resolved until the final chapter, Chapter 135, when the mad Ahab is pulled down to his death by Moby Dick. Only the short "Epilogue," two paragraphs long, follows the resolution of the madness sequence in this novel. Thus, the ratio of madness sequence to entire narrative is approximately:

$$\frac{\text{madness sequence}}{\text{complete narrative}}$$

The Great Gatsby: Here, too, there are a few hints about the quixote's madness early in the book: Nick sees Gatsby standing with arms outstretched at the end of Chapter 1 and Gatsby's parties are described in Chapter 3. But, Gatsby doesn't come on-stage to speak until the end of Chapter 3 and his particular quixotic madness is not made evident until the interpolated tale, told by Jordan Baker, beginning, "One October day in nineteen-seventeen--" which appears at the end of Chapter 4, almost half-way through the book. The madness sequence in this novel ends when Gatsby is shot by Wilson. Ahab and Gatsby are like each other and unlike the other quixotes here because neither is cured in the narrative. Each is possessed by a madness Foucault would describe as "beyond appeal":

Nothing ever restores it to truth or to reason. It leads only to laceration and to death...⁷

Although Emma Bovary and Don Quixote die in the resolution of the madness sequence in their narratives, they are given their deathbed enlightenment, a few moments in which they realize the error of their ways. (Foucault himself would disagree here: he believes Don Quixote's madness is "beyond appeal," cf. Chapter Two.) Ahab and Gatsby die without experiencing enlightenment; they die still possessed by madness (as far as we are allowed to know).

A complete chapter follows the end of the madness sequence in The Great Gatsby so the ratio here is approximately

madness sequence

complete narrative

Madame Bovary: Again the quixote is kept off-stage in the early part of the book. Emma first appears late in the second chapter (I, 2). Her madness is not revealed, however, until the end of I, 6 when we learn:

But in her eagerness for a change, or perhaps overstimulated by this man's presence, she easily persuaded herself that love, that marvelous thing which hitherto had been like a great rosy-plumaged bird soaring in the splendor of poetic skies, was at last within her grasp.

The madness sequence operates in this narrative until the thirty-second of the thirty-four chapters (III, 8) when Emma dies by her own hand. Two chapters follow the resolution of the madness sequence so the ratio is approximately:

madness sequence

complete narrative

Middlemarch: Here is, to my mind, the most interesting, and most telling, configuration of the mobile fragment of the madness sequence in these novels. As in Don Quixote, the madness sequence in Middlemarch is invoked immediately: Dorothea appears on-stage in the opening passage of the narrative and her quixotic delusion is suggested quickly: her idea of "a really delightful marriage...where your husband was a sort of father..." (I, 1) is one of her first thoughts we are allowed to overhear, and in Chapter 2 she is already taken with Casaubon. Here, though, the madness sequence concludes earlier than in any other novel. Dorothea has begun to suspect the truth about Casaubon (that he has no chance of Finding the Key to all mythologies and that he is a dull lover to boot) by Chapter 22, one-quarter of the way through the novel, when she meets Will Ladislaw in Rome. Her illusion about Casaubon is completely gone less than two-thirds of the way through the novel, in the fiftieth of the eighty seven chapters, after Casaubon has died and left his nasty will. The ratio of madness sequence to entire narrative is, then:

madness sequence

complete narrative

Unlike Quixote, Ahab, Gatsby, and Emma, Dorothea lives on past the end of her quixotic madness. This makes an important difference in the narrative possibilities in Middlemarch: in this novel we see the quixote's idealism separated from her aggression.

Dorothea is the one quixote here who lives on past her self-victimization and the end of her illusions. In the second movement of Dorothea's story (going on through the last third of the novel) the quixote keeps her quixotic ideals but loses her aggressive tendencies. Dorothea acts without victimizing anyone: she funds the hospital; she saves Lydgate from despair; she teaches Rosamond something about loving a husband; she marries Will Ladislaw. The narrative in Middlemarch finds a way to use the quixote in the narrative without using the formula $Q \rightarrow V \rightarrow Q/V$.

One way to explain this configuration is that the narrative in Middlemarch does not need the quixote's aggression to generate sequences. There is a certain truth to this. Dorothea's story seems to be subordinated in the last third of the novel while Lydgate's story and the other stories come forward. Even before Dorothea is enlightened (Chapter 50) the reader is engaged in the sequences of the other stories. The madness sequence is no longer needed to keep us interested.

Another, less "deconstructive" way to explain this difference, though, is to say that George Eliot is of the authors here the most sympathetic to the quixote. The author

declares her sympathy immediately, in fact, in her "Prelude" to the novel, a declaration of sympathy to the quixote that would be out of place in any of the other novels. She compares there the success of St. Theresa with the failure of "latter-born Theresas." In Eliot's view it is not the quixote's idealism that is problematic; the quixote's problem is finding a way to express those ideals. Theresa's chivalric ideals are admirable:

Theresa's passionate, ideal nature demanded an epic life: what were many-volumed romances of chivalry and the social conquests of a brilliant girl to her? Her flame quickly burned up that light fuel: and, fed from within, soared after some illimitable satisfaction, some object which would never justify weariness, which would reconcile self-despair with the rapturous consciousness of life beyond self. She found her epos in the reform of a religious order.

"Latter-born Theresas" have similarly admirable ideals; what they need is that "object which would never justify weariness." These objects are hard to find and so the story of these feminine quixotes is often sad:

Here and there is born a Saint Theresa, foundress of nothing, whose loving heart-beats and sobs after an unattained goodness tremble off and are dispersed among hindrances, instead of centering in some long-recognizable deed.

This point of view--that the quixote's ideals are admirable, it is the quixote's circumstances that are the problem--can be found in the other Quixotic Novels: this seems to be Don Diego's understanding of Don Quixote when he says to him (II, 17, p. 619),

"I must assure you, Senor Don Quixote, that everything your Grace has said and done will stand the test of reason; and it is my opinion that if the laws and ordinances of knight-errantry were to be lost, they would be found again in your Grace's bosom..."

And, the opening of The Great Gatsby is a direct expression of this sympathetic point-of-view: "...there was something gorgeous about [Gatsby]," Nick tells us, "some heightened sensitivity to the promises of life..." But in each of these books, and in the other novels the quixote is finally defeated by circumstances and the meaning engendered is that the quixote cannot live on with ideals; the world is too much for the quixote. Dorothea's quixotism is given more formal support than any other quixote's: the support comes, in a sense, at both ends of the narrative--in the "Prelude" and in the last third of the novel when she lives on past her self-victimization and enlightenment.

This analysis leads me to disagree, then, with the gloomier readings of Middlemarch. Quentin Anderson has even argued that Dorothea's world is worse than Emma Bovary's:

It is hard to conceive how an individual can on this scene in Middlemarch really originate anything. Dorothea's wide charity finds no direct expression; Lydgate's scientific interest in the town's health meets blank incomprehension and effectual resistance... Indeed the reader may feel...that Middlemarch is as oppressive as the provincial town inhabited by Emma Bovary in another study of the moeurs de province. In Flaubert's book there are at least the passionate impulses of Emma to combat her stifling world. What is there here?⁸

Although it may be a little too simple, the analysis of the madness sequences gives us an answer to that last question:

Dorothea is allowed to live on after her disillusionment. Emma's combat against her stifling world is a losing one: she is, in the end, overwhelmed. Dorothea spends her passionate impulses unwisely and is momentarily stifled, but she is allowed to grow wiser by her experience. Emma's wisdom comes too late.

There is even better evidence to support the opinion that George Eliot is the author most sympathetic to quixotism: it is the story of Lydgate. Lydgate plays a role that can be understood as a possibility existing inherently in the narrative system of the Quixotic Novel, but which appears in none of the other novels here. He is an anti-quixote. Lydgate is sometimes paralleled to Dorothea, as in Anderson's analysis above, but the analysis we have been doing here allows us to see that his story is a transposition of Dorothea's story. Lydgate is the opposite of a quixote. A characteristic of the quixote is their commitment to aggressive action. Genuine quixotes charge windmills, chase white whales, sleep with lovers, marry men twice their age, etc., despite opposition. And the problems the quixotes encounter, the failures they make, are created because their aggression is turned against them: the windmills clobber the knight, the whale drowns the captain, the lover rejects the mistress, the old man mistrusts the girl, etc. Lydgate's story and Lydgate's failure is exactly the reverse. His problem is he

is not aggressive enough. He fails because he chooses immediate reality over idealism. He attends to Rosamond and ignores his studies. He cannot see past Rosamond's beauty to the ideals the quixote would be committed to. His story makes a narrative that reverses the narrative of the quixote. We sympathize with Dorothea and the other quixotes because they are foolish enough to tilt into quixotic action; we sympathize with Lydgate because he is foolish enough not to tilt into quixotic action.

The narrative underscores the difference between Lydgate and quixotes in Chapter 64. Lydgate's economical difficulties are getting the better of him and he is enormously frustrated because they are taking so much of his time:

Some gentlemen have made an amazing figure in literature by general discontent with the universe as a trap of dullness into which their great souls have fallen by mistake; but the sense of a stupendous self and an insignificant world may have its consolations. Lydgate's discontent was much harder to bear: it was the sense that there was a grand existence in thought and effective action lying around him, while his self was being narrowed into the miserable isolation of egoistic fears, and vulgar anxieties for events that might allay such fears. (VII, 64)

George Eliot (or, if one prefers the structuralist perspective, the narrative of Middlemarch) reveals her (or its) sympathy for quixotism by finding ways of using the quixote in the narrative after the quixote's self-victimization and by giving us an anti-quixote, Lydgate, a character who might

have been a success if he had been a little more like Don Quixote; the failures of the central characters in the other Quixotic Novels are caused by the fact that they are too much like Don Quixote.

The Partners Sequence

I would like to end this discussion of the "mobile fragments" in the narrative system of the Quixotic Novel by noting what I think is the most interesting change in the configuration of these units. It is a change of configuration that can be found in three of the four novels and it can be understood as an example of an improvement in the narrative system of the genre. Moby Dick, Madame Bovary, and The Great Gatsby offer the same solution to one of the problems of the narrative structure of Don Quixote. In each of these three novels the partners sequence rather than the madness sequence frames the narrative. This solves the problem Erich Auerbach identifies in his analysis of "The Enchanted Dulcinea" episode:

It might be supposed [that the incident of the "Enchanted Dulcinea"] would bring on a terrible crisisIt could produce a shock which in turn could bring on much deeper insanity. But there is also the possibility that the shock might bring about a cure, instantaneous liberation from the idee fixe. Neither of these things happens. Don Quixote surmounts the shock. In his idee fixe itself he finds a solution which prevents him both from falling into despair and from recovering his sanity: Dulcinea is enchanted. This solution appears each time the exterior situation establishes itself as in insuperable contrast to the illusion....The happy ending is a foregone conclusion. Thus both tragedy and cure are circumvented.⁹

Auerbach uses his analysis of this episode to argue (cf. Chapter Two above) that Cervantes is not an important author "in the history of the literary conquest of reality."¹⁰ Quixote's madness is not problematic enough. Although Auerbach does not describe it as such, Barthes's analysis of "The Story's Interest" enables us to see that the problem Auerbach pinpoints is a problem created by the discourse's "instinct for preservation." The narrative of Don Quixote must give the knight his escape clause because the cure must be prevented. The narrative is depending on the madman's madness for its narrative energy. The adventures will only go on as long as Don Quixote remains mad. The escape clause, therefore, is serving the story's interest. Tragedy must be circumvented in this novel because the madness sequence frames the tale. When the madness sequence has run its course the story will end.

In Moby Dick, Madame Bovary, and The Great Gatsby tragedy can be more easily brought into the narrative because the "differential situation" of the madness sequence and the partners sequence is changed. In these three novels the partners sequence frames the narrative. We have, then, a narrative in which the partner can sense the tragedy (and express it) while the story's interest is served by the madman avoiding his cure. The energy of the narrative is still supplied by the quixotic madman--most of the disequilib-

rium in the three novels is created by the quixote; Ahab, Emma, and Gatsby are the protagonists of their narratives-- but the focus is changed. We see the tragedy of the quixote through the eyes of the partner.

The change in configuration is clearest in Moby Dick and The Great Gatsby because in these two texts the Sancho-figure/partner is also the narrator: we are, therefore, in the partner's consciousness throughout. But, the configuration is similar in Madame Bovary; here, too, the partners sequence frames the narrative. We move through Charles's consciousness in the opening chapters to Emma's consciousness and then, after Emma dies (and the madness sequence ends) we move back into Charles's consciousness for the final chapters.

In Don Quixote, as described in Chapter Four above, the partners sequence generates narrative in either of two ways: Sancho Panza struggles to understand his master or Don Quixote struggles to understand his man. In the later novels there does not seem to be any narrative generated by the quixote trying to understand the Sancho-figure/partner. From the point of view of the narrative the quixote's understanding of the Sancho-figure is not important; what is important from the point of view of the narrative is that the tragedy in the quixote's story can be expressed while the quixote remains immune to cure. The discourse's "instinct for preservation" dictates that the quixote be unwilling to

learn the lesson of his story: if the quixote learned his lesson the madness would end and the protagonist of the narrative would no longer generate sequences by tilting into aggressive action. So, the quixote cannot fully understand and express the tragedy of his own story, until he is on his deathbed when his story is over. By shifting the focus to the partner the narrative can underscore the tragedy in the quixote's story.

This shifting of focus takes slightly different forms in the three novels. It is clearest in The Great Gatsby where Nick begins and ends the tale with expressions of sympathy for the quixote. In the opening chapter he tells us,

[Gatsby had] an extraordinary gift for hope, a romantic readiness such as I have never found in any other person and which it is not likely I shall ever find again. No--Gatsby turned out all right in the end; it is what preyed on Gatsby, what foul dust floated in the wake of his dreams that temporarily closed out my interest in the abortive sorrows and short-winded elations of men. (Ch. 1)

After the madness sequence has run its course, and Gatsby has been shot, the partners sequence takes over the narrative again: Nick attends Gatsby's funeral, meets his father, discovers no one will mourn Gatsby, reads Gatsby's "SCHEDULE" and "GENERAL RESOLVES" in the copy of Hopalong Cassidy, encounters Tom Buchanan, and expresses his final thoughts. The shift of perspective is large in this Quixotic Novel. Nick's struggle to understand Gatsby seems as important as Gatsby's struggle to relive the past.

Ahab is, as I have argued, a less sympathetic quixote than Gatsby (or any of the other quixotes here) and his tragedy is, consequently, less sad. Still, the narrative of Moby Dick uses the partner's sequence to shift the focus to the partner. We have thirty-odd chapters of Ishmael's consciousness before we are allowed into Ahab's. Much of the discourse here has little to do with Ahab (Ishmael is the most digressive of the narrators in these novels) but the effect of this opening is similar to the effect in The Great Gatsby and Madame Bovary: the partner's perspective supplies a framework to the tale. We come to the quixote through the partner and the partner is a character who can attempt to put the quixote's story in perspective. It is Ishmael who is able to see the quixote and the quixote's struggle from the outside: "Here, then," he tells us (Chapter 41) "was this grey-headed, ungodly old man, chasing with curses a Job's whale round the world, at the head of a crew, too, chiefly made up of mongrel renegades, and castaways, and cannibals..." What tragedy there is in Moby Dick (and there seems here less than in the other novels) is to be found expressed by the partner Ishmael. Whatever lesson is to be learned in this tale of the quixote going toward self-destruction is learned by Ishmael. In the partner's sequence the narrative finds a way to take one step back from the story of the quixote and his madness.

Although Charles Bovary is not the narrator of his story, the configuration of partners sequence and madness sequence in Madame Bovary is closely similar to that in The Great Gatsby. We begin in the partner's consciousness before he has met the quixote (Chapters 1 and 2 in Madame Bovary), move from the outside to the story of the quixote, read of the quixote's journey to self-destruction, and finally return to the tale of the partner trying to understand the quixote in the end (the last two chapters of Madame Bovary follow Emma's death). Here is, I think, the saddest of these five Quixotic Novels because the partner does not learn the lesson of the quixote. Although Charles is given the perspective to see the effect of the quixote's madness from the outside--he can see the quixotic madness transform a beautiful young girl to a suicide--he cannot resist the germ of quixotism himself. In the end,

To please her, as though she were still alive, he adopted her tastes, her ideas: he bought himself patent leather shoes, took to wearing white cravats. He waxed his mustache, and signed--just as she had--more promissory notes. She was corrupting him from beyond the grave. (III, 11)

Charles, unable to resist the germ Emma gave to him, sells his silverware, and furniture, and finally, broken in every way, dies. In The Great Gatsby and Moby Dick the partners live on: they are, it seems, wiser men because they have witnessed the quixote's tragedy. In Madame Bovary no one seems the wiser. Emma dies without even teaching her partner a lesson and that makes her story all the more tragic.

In all three of these stories, though, the "mobile fragment" of the partners sequence fits into the narrative in a different way than it did in the first Quixotic Novel. Each narrative uses the partners sequence to frame the narrative: in the partner the narrative finds a character to feel and express the tragedy of the quixote.

2. Conclusion

Some of the elements identified as important parts of the narrative of Don Quixote do not seem to be repeated in the other Quixotic Novels. The three-tiered structure of narrative levels is one. Another is the triangle of initial equilibrium--heuristic pretense--final equilibrium, the triangle which, I argued in the last chapter, is a "preliminary sketch" of the model of Don Quixote. This triangle does not seem to be part of the narratives of Moby Dick, Madame Bovary, Middlemarch, and The Great Gatsby: none of the quixotes in those narratives shares the spirit Don Quixote expresses in that speech to Sancho when he says, "I am content to imagine that what I say is so..." Each of the other quixotes has a different understanding of himself and his madness, but none of them seems to share this commitment to pretense. So, even if the triangle is a "preliminary sketch" of the model that generates Don Quixote, it cannot be argued that it is a sketch of the model that generates the other Quixotic Novels. The obvious question is, then: what is the nature of this system of the narrative of the Quixotic Novel? How can it be said that all the novels are part of a system when none of them seems to share the same basic structure of the prototype?

The answer to that question is, I think, that the members of the genre of the Quixotic Novel do not share a basic,

simple structure that can be easily identified. All seem to be narratives that manifest a system of narrative, but the exact structure of that system is not clear. I admitted in Chapter Four that my analysis had not led to a full description of the narrative system of Don Quixote. I am even further away, after the analysis in this chapter from a full description of the narrative system of the Quixotic Novel. It is tempting for the analyst to think that there is some single model generating the system he is investigating, some simple "deep structure" determining the "surface" he can examine; this belief encourages him to investigate: he can hope that he will be able to explain the workings of the system. He can hope to see the landscape in the bean. The truth may be, however, that the system is just too intricate to ever be explained. The best the analyst can do is to establish by his investigation that a system is operating; by demonstrating that certain "mobile fragments" can be named, described, and studied in the system, he can establish that there is some "deep structure" beneath the "surface." This is what I think the discussion in this chapter has done: it has identified the existence of a system. It has provided evidence that there is a structure we can call "the narrative structure of the Quixotic Novel." The "mobile fragments" identified in the last section are evidence that Don Quixote, Moby Dick, Madame

Bovary, Middlemarch, and The Great Gatsby are connected to each other and to an abstract substrata, "deep structure" which cannot be fully described or explained, but which does seem to exist.

The discussion in this last chapter has been, of necessity, broad. I am sure my reader has wanted to question certain interpretations and conclusions. He may even feel that the analysis in this chapter and the two previous chapters has raised more questions than they have answered.

There is the question of the author's presence in the text. Who is speaking the narrative discourse: the system or the author? In a few places in this chapter and the last I have spoken of Cervantes and Eliot operating the narratives of Don Quixote and Middlemarch. If we can find evidence that the author has a certain amount of control over the text, should we not go on to establish how the author understands the narrative system he or she is operating? When Eliot attaches a passage from Don Quixote to the third chapter of Middlemarch, it certainly does seem that the analyst must grant that the author is conscious of the connection between her text and the original Quixotic Novel. Some structural analysts of narrative would refuse to take up such an investigation, but the less "deconstructive"-minded analyst might be interested in trying to find other evidence of the author's control of the system and how that system is changed by that control.

There is also the question of the position of the titular narrative in the complete narrative system of the Quixotic Novel. Is it really fair to say, for example, that Lydgate's role exists as an inherent possibility in Don Quixote when there is no anti-quixote in that novel? If so, what other possibilities exist in that prototype? Can we imagine future Quixotic Novels which will make manifest possibilities that are still latent in Cervantes's narrative?

There are, also, many more specific questions the analysis in the last three chapters has raised. How do we explain the presence of several major characters (Homais, Will Ladislaw, Jordan Baker, etc.) in the later Quixotic Novels who do not seem to fit into the spheres of action identified in Don Quixote? If Dorothea is the quixote in Middlemarch and Lydgate the anti-quixote, can we explain other plots in that novel as different transformations of the model that generates the novel? If not, how do these other tales fit into the genre of the Quixotic Novel? Can it be that two of the stories in Middlemarch are part of the genre and the other stories are not? What about the fictional intermediaries of Ishmael and Nick Carraway? Are they related to the intermediaries in Don Quixote? Is there a self-conscious narrator sequence operating in Moby Dick, The Great Gatsby or the other novels? What about the intrusion of other genres into the genre of the Quixotic

Novel? How does the picaresque, for instance, contribute to the structure of the Quixotic Novel? The Pequod has been compared to Rocinante: what changes are wrought in the narrative structure of the other novels because the heroes in those novels do not wander?

All of these questions and many more have been left unanswered by this study. I think, however, that the fact that they have been raised is evidence that the analysis from the point of view of the narrative is a good way to begin to examine the genre of the Quixotic Novel.

And, this study has done more, I think, than raise questions. A method of analysis synthesizing V. Propp's methods in Morphology Of The Folktale and Roland Barthes's methods in S/Z has been proposed, described, and used to investigate Don Quixote and four other Quixotic Novels.

The analysis in Chapters Three and Four has found:

---that the narrative of Don Quixote seems to contain three kinds of narrative sequences: atomic sequences, episodic sequences, and novelistic sequences;

---that an investigation of Sancho Panza's actions in the two lower levels of narrative sequence reveals that his "character" is not a homogeneous entity, but is instead an embodiment of a narrative system operating beneath the level of character;

---that most of the episodic sequences in Don Quixote can be symbolically represented by a single, fairly simple, narrative formula: $Q \rightarrow V \rightarrow Q/V$;

---that there seems to be four spheres of action which can be identified operating in the episodic sequences of Don Quixote: the spheres of action of the quixote, the victim, the bystander, and the manipulator;

---that an analyst examining the first Quixotic Novel from the point of view of the narrative can argue that Sancho-figures in later Quixotic Novels are identifiable because they perform in their narratives the syntagmatic functions Sancho Panza performs in his;

---that the relationship between character and discourse in Don Quixote is not simple: the character of Don Quixote has a certain independence from the dictates of the discourse and the relationship between the "accomplices" of character and discourse is worth studying;

---that an investigation in "slow motion" by lexias of the first eight chapters of the text reveals, among other things, that there are five novelistic sequences operating in the text: the madness sequence, the psychology sequence, the hero/fool sequence, the partners sequence, and the self-conscious narrator sequence;

---that a "preliminary sketch" of the model that generates the tale of Don Quixote can be drawn if the relationship between the triangle of narrative sequence and the nature of the five novelistic sequences in the novel is examined;

---and, finally, that the narrative structure of Don Quixote cannot be completely described by any simple pattern: while the "preliminary sketch" of the model is helpful and explains some of the structure of the narrative, the whole narrative can only be explained as a complex of patterns.

Chapter Five comes to the same conclusion about the genre of the Quixotic Novel: the narrative system of the Quixotic Novel cannot be understood as a simple structure. There is evidence, however, that there is a narrative system in the genre. By observing that many of the elements identified in the narrative structure of Don Quixote reappear in Moby Dick, Madame Bovary, Middlemarch, and The Great Gatsby, the analyst can argue that these elements are "mobile fragments" in a narrative system larger than the narrative systems of the individual novels. The narratives of the later Quixotic Novels seem to be linked to each other and to Don Quixote by their connection to an abstract substratum, a system operating beneath the "surface" of the narratives: the formula $Q \rightarrow V \rightarrow Q/V$ can be found generating narrative sequences in all four novels; the four spheres of action identified in Don Quixote reappear in the later novels; finally, two of the novelistic sequences in Don Quixote, the madness sequence and the partners sequence are important elements in the later novels. All these "mobile fragments" take different configurations in Moby Dick, Madame Bovary, Middlemarch, and The Great Gatsby than they take in the

original Quixotic Novel, but by studying those configurations we have a way to compare the novels and study how the meanings engendered in the different novels is determined by narrative structure. Although the narrative system of the Quixotic Novel is not easily described, the analysis in this study gives us the sense that the system is there: Don Quixote, Moby Dick, Madame Bovary, Middlemarch, and The Great Gatsby are, in a sense, five versions of the same story. By investigating these versions from the point of view of the narrative, the analyst can begin a reading of the complete story of the Quixotic Novel.

The end here, then, is no real end. A method has been proposed and used to make some preliminary points about the nature of a genre. A few conclusions have been reached and some lines of connection have been drawn. The questions left unanswered indicate that much work lies ahead for the analyst interested in a full understanding of the narrative system of the Quixotic Novel. If this study serves its purpose, it will be immediately useful and ultimately superseded.

NOTES

1. Roland Barthes, "The Structuralist Activity," Critical Essays, trans. Richard Howard (Evanston, Ill.: Northwestern University Press, 1972), pp. 216-217.
2. The quotations in English from Madame Bovary throughout this chapter are from the translation by Francis Steegmuller, Madame Bovary (New York: Random House, 1957). In French the passage here reads: "...elle la remit aux mains de la domestique, qui restait fort ebahie devant cet excès de tendresse." There is, I should note, one scene in which Emma's cruelty to Berthe occurs on-stage: when she returns from the conference with the priest, Lestiboudois, in II, 5, she yells at the girl to let her alone and then pushes her into the chest of drawers.
3. Roland Barthes, S/Z, trans. Richard Miller (New York: Hill & Wang, 1974), p. 18.
4. Ibid., p. 135.
5. Harry Levin, "Don Quixote And Moby Dick," Cervantes Across The Centuries, ed. Angel Flores and M. J. Benardete (New York: The Dryden Press, 1947), p. 222.
6. Ibid.
7. Michel Foucault, Madness And Civilization, trans. Richard Howard (London: Tavistock, 1965), p. 31.
8. Quentin Anderson, "George Eliot in Middlemarch," Discussions Of George Eliot, ed. Richard Stang (Boston: D. C. Heath, 1960), p. 90.
9. Erich Auerbach, Mimesis: The Representation Of Reality In Western Literature, trans. Willard R. Trask (Princeton: Princeton University Press, 1953), p. 340.
10. Ibid., p. 331.
11. Peter Lisca is one reader who has investigated the importance of Nick. Cf. "Nick Carraway And The Imagery Of Di-order," Twentieth Century Literature (April, 1967), pp. 18-27.

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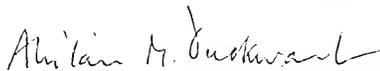
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BIOGRAPHICAL SKETCH

John J. Connor was born May 11, 1947, in Elizabeth, New Jersey. He attended Franklin and Marshall College where he received a Bachelor of Arts degree in English in June, 1969. He taught in public schools in New Hampshire and New Jersey from 1969 to 1974 and received a Master of Arts degree from Seton Hall University in March, 1973. Since September of 1974, he has taught as a graduate assistant in the Department of English and studied for the degree of Doctor of Philosophy.

Mr. Connor married Jesse Easton in September, 1969. They live on the edge of Newnan's Lake, a cypress-bordered lake six miles east of Gainesville where eagles, ospreys, and prothonotary warblers nest. He is an active conservationist. He has served on the Executive Committee of the Alachua Audubon Society, as Chairman of the Endangered Species Committee, and he writes, with his wife, Alachua Audubon's monthly publication, The Crane.

I certify that I have read this study and that in my opinion it conforms to acceptable standards of scholarly presentation and is fully adequate, in scope and quality, as a dissertation for the degree of Doctor of Philosophy.



Alistair M. Duckworth
Associate Professor of English

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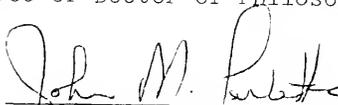
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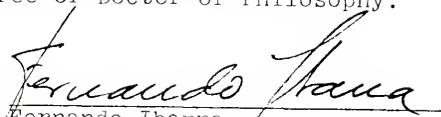
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August, 1977

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