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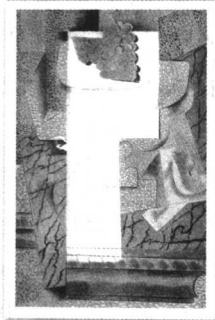
A Glossary of Literary Terms

文学术语汇编 第7版

M.H.Abrams

外语教学与研究出版社
FOREIGN LANGUAGE TEACHING AND RESEARCH PRESS
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文学术语汇编

第 7 版

M. H. Abrams 著

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General Preface

Among the most important developments in contemporary global culture is the arrival of Western literary criticism and literary theory in China. FLTRP is to be congratulated for its imagination and foresight in making these crucial texts available to teachers and students of literature throughout China. There is arguably no greater force in producing understanding between peoples than the transmission of literary traditions—the great heritage of narrative, lyric, and prose forms that give cultures their distinctive character. Literary criticism and theory stand at the crossroads of these transmissions. It is the body of writing that reflects on what a literature has meant to a culture. It investigates the moral, political, and experiential dimensions of literary traditions, linking form to content, literature to history, the sensuous love of literature to analytic understanding.

The availability of these important texts will greatly help students and teachers to become acquainted with recent criticism and major critical theories and movements. I am convinced that the series will make an important contribution to the literary education of China, increasing literacy in new fields and international understanding at the same time. It is an extraordinarily timely venture, at a time when comparative literary study in a global context has become increasingly important for professionals, and beyond that, for a general readership that seeks a deeper understanding of literature.

W. J. T. Mitchell

Gaylord Donnelley Distinguished Service Professor
English and Art History
University of Chicago
Editor, *Critical Inquiry*

出版说明

近年来,许多大专院校为英语专业的学生开设了英美文学课程,市场上也出现了各种版本的原版英美文学经典著作,它们基本上满足了高校对课堂阅读教材的需要。但是,英美文学教学中仍然严重缺少原版文学史、文学理论、文学评论和文学工具书等重要参考书,以至于许多学生写论文时收集资料成为一大难题,专业教师和研究人员的业务水平的提高因此受到限制,在知识更新及学术研究上也难以与国际接轨,北京、上海等大城市以外的地方尤为如此。

据此,外研社组织了全国17所著名高校或研究院的44名英美文学领域的专家学者,经过仔细斟酌,决定引进一批与教学需要相适应,有学术价值,在国外最常用且被国际公认为优秀的文学评论、文学理论、文学史和文学工具书。这是一套开放型的系列图书,以原版加中文序言的形式分批出版。相信这套书的出版定可缓解国内大专院校中英美文学参考书匮乏的现象;同时,通过这种途径,可以有意识地引进国际知名学者的代表作,这无疑会推动和提高我国在英美文学领域的研究水平。

钱青

北京外国语学院英语学院

说到20世纪的西方文学,恐怕大家都会有一个共同的感受,那就是新术语、新概念出现得太多、太快,简直叫人应接不暇,那感觉就仿佛童年时代学代数几何,三天两头一个公式,究竟是什么意思,弄不懂,反正你得先死记下来,等后来逐渐学进去了,才慢慢地悟出点味道来。记得早年出洋吃法国菜或意大利菜,也有类似的感觉,一道菜还没有吃出是什么,下一道就上来了,满耳朵听的是新名词,可就是没吃出什么味道、什么东西。我们中国学西方文学的人有这种感觉,外国学西方文学的人又何尝没有类似的感觉呢?许多学西方文学的外国学生也都有同样的抱怨,对那些日新月异的新术语、新概念,他们也像我们一样搞不懂。造成这种新名词、新术语爆炸的原因,一是20世纪西方文坛理论更迭相当快,新的流派不断涌现出来,重要的流派不下十余种,像形式主义、新批评、结构主义、接受美学、阐释学、心理分析、原型批评、西方马克思主义、现象学批评、后结构主义、解构主义、后殖民主义、后现代主义、新历史主义、女性主义等等,不一而足。每一种新理论、新流派都有自己一套独特的新名词、新概念,甚至一个流派中不同的理论家都可能创造出属于自己的独特名词、概念系统来。另一个重要的原因是,20世纪学术研究中出现了不同学科相互交叉的情形,文学越来越多地向哲学、心理学、人类学甚至自然科学等学科借鉴思维方式乃至术语、概念,于是,新名词、新术语就越来越多,越来越艰深。面对这种情势,弄懂这些新名词、新术语就成了那些学西方文学的人首先必须解决的难题,而为满足这一需求,阐释这些新名词新术语的各类辞书就应运而生了。

就目前已经出版的众多的文学术语类辞书而言, *A Glossary of Literary Terms* (似可译为《文学术语汇编》) 应该说是其中最好的几种之一。与它处在同一水平上的,我们还可以举出如下几种: *The Concise Oxford Dictionary of Literary Terms*, Chris Baldick, ed., Oxford University Press, 2001; *Dictionary of Literary Terms and Literary Theory*, J. A. Cuddon, Claire Preston, eds., Penguin Group (USA) Incorporated, 2000; *Critical Terms for Literary Study*,

Frank Lentricchia, Thomas McLaughlin, eds., University of Chicago Press, 1995。这几种文学术语类辞书各有千秋,都出版于最近的十年间,都注意选收最新出现的名词术语,都受到专家与读者的好评,都在学术界产生了较大的影响。大略说来, *The Concise Oxford Dictionary of Literary Terms* (《简明牛津文学学术语辞典》) 与 *Dictionary of Literary Terms and Literary Theory* (《文学学术语与文学理论辞典》) 出版时间较近,搜罗较富,前者收 1000 余条,后者则多达 2000 余条,但两者都属于“辞典”类,由于篇幅所限,有些十分重要的词条解释得比较简略; *Critical Terms for Literary Study* (《文学批评术语》) 与 *A Glossary of Literary Terms* (《文学学术语汇编》) 虽然所收词条相对少一些(前者 28 条;后者主要条目 200 余条),但却对重要的词条做了详尽的解析,而与前者不同的是,后者所收词条不仅包括了当代重要的名词和术语,而且包括了数千年来西方文学史上出现的重要名词和术语,涵盖了文学、文学史、文学批评等三个方面,是一部名副其实的文学学术语辞典,而《文学批评术语》条目本来就相当少,其中还包括了若干条属于文化研究的条目,严格说来,它也许该算作“文化批评术语”的一种工具书。

A Glossary of Literary Terms 最初出版于 1957 年,在近半个世纪的时间里曾多次修订再版,这里印出的是它的第 7 版。编者是当代著名批评家 M.H. Abrams。

与那些同类的辞书相比, *A Glossary of Literary Terms* 有自己的特色。

首先,它把西方文学史上重要的名词、术语几乎很少遗漏地收入了,例如,就文学类型而言,它收入了 epic, comedy, tragedy, novel, essay, lyric, myth 等主要的文学类型;就文学思潮和运动而言,它收入了 realism, naturalism, aestheticism, symbolist movement, surrealism, expressionism, modernism, postmodernism 等主要的文学思潮与运动;就文学的形式因素而言,它收入了 style, figurative language, hyperbole, understatement, imagery, meter, alliteration, allusion, ambiguity, archaism, baroque, burlesque, conceit, euphuism, irony, metaphor, motif, theme, onomatopoeia, paradox, persona, tone, voice, plot, poetic diction, point of view, pun, refrain, satire, setting, soliloquy, stanza, stream of consciousness, symbol, synesthesia, three unities, wit, humor 等;就批评流派而言,它收入了 formalism, archetypal criticism, psychoanalytic criticism, Marxist criticism, new criticism, feminist criticism, new historicism, phenomenology and criticism, reader-response criticism, structuralist criticism, deconstruction, dialogic criticism, poststructuralism,

postcolonial studies, queer theory, new historicism 等主要的批评流派。

与一般辞典类工具书相比, *A Glossary of Literary Terms* 的一个重要特色是它的词条内涵特别丰富。它的主要词条其实都是长短不一的文章,特别是上述重点词条,不仅用简洁明快的语言给出名词术语的基本定义,还用相当的篇幅讲述该名词术语产生发展演变的脉络,或对其在不同语境中流传衍变的情况加以探索。一般辞典类工具书,所收条目务求齐全,因此,条目都比较简略,而且很难避免出现重复和条目互见的现象,再说,由于篇幅的限制,往往很难给出条目使用的具体语境,容易导致误解;此外,这类辞书一般面目也比较刻板,读来常常会觉得乏味。本书所收词条虽然也有一定数量,但它的重点显然不在词条的齐全上,而在词条本身的内容上,它所收的词条虽然未必齐全,但每一个词条都十分下工夫,写得很扎实。我们不妨举几个例子来说明。譬如,学西方文学的人都比较熟悉的 Sonnet (十四行诗,旧译“商籁体”),本书先用一个十分简明的句子 (A lyric poem consisting of a single stanza of fourteen iambic pentameter lines linked by an intricate rhyme scheme.) 对这种诗体做出准确的界定,仅仅一句话,就把它的本质属性都指明了:一种抒情诗,仅含有一个诗节,共有 14 行,每行都是五音步抑扬格,全诗有复杂的韵式。然后说明它的基本类型:一、意大利式或称彼特拉克式 (因由意大利诗人 Petrarch 首创而得名):内容主要是写男子对自己心仪的女子的爱以及这种爱带来的欢乐和痛苦;形式上分作一个 8 行和一个 6 行两部分,前 8 行用 abbaabba 的韵式,后 6 行用 cdecde 或 cdccdc 的韵式。二、英国式或称莎士比亚式 (因由 Shakespeare 主要实践而得名):内容上类似彼特拉克式;形式上分作三个 4 行和一个对句两部分,三个 4 行的韵式是: abab cdcd efef, 收尾的对句的韵式是: gg; 与莎士比亚差不多同时的英国诗人斯宾塞也擅长这一诗体,但他的韵式有所不同,他把三个 4 行有机地联系了起来,其韵式是: abab bcbc cdcd ee。此外,书中还进一步说明这种诗体在内容上的变化:莎士比亚与斯宾塞的十四行诗主要写性爱,而到 17 世纪英国诗人约翰·邓恩的《神圣的十四行诗》就加入了许多有关宗教的主题,而到稍后的英国大诗人弥尔顿笔下,诗歌的主题便进一步扩大了。此后,十四行诗成为一种稳定的诗歌体裁,有许多英美诗人乐于采用这种诗体,像华兹华斯、济慈、勃郎宁夫人、罗塞蒂兄妹、罗宾逊、叶芝、弗罗斯特、奥登、迪兰·托马斯等人都是这一诗体的积极实践者。他们在形式与主题上都继承并发展了意大利式或英国式的十四行诗。英国的诗人们还在意大利式的基础上,发展出一种系列式 (或称连环式) 的形式,把若干首十四行诗连环起来,从不同的角度写情人之间的关系,莎士比亚、斯宾塞、锡德尼、

华兹华斯、罗塞蒂、勃郎宁夫人、梅瑞狄斯、迪兰·托马斯等都写过这类连行式的十四行诗。再如，本书对20世纪才出现的一个新批评术语Formalism，也写得简明而富有特色。首先说明它是文学理论和文学分析的一种。随即清晰地勾勒了这一术语产生和演变的历史：产生于20世纪20年代的莫斯科和圣彼得堡，当时的一些俄国批评家们由于专注于文学的形式和技巧而排斥文学的主题和社会价值等被贬义地称作“形式主义者”，后来这种贬义的色彩逐渐被中性色彩所取代。这派被称作“俄国形式主义”的批评家的代表有：鲍里斯·艾亨鲍姆、维克多·什克洛夫斯基和罗曼·雅各布森。到30年代，由于前苏联政权对这派文人的压制加剧，形式主义的中心便由莫斯科和圣彼得堡转到了捷克的布拉格，雅各布森移居捷克，建立了“布拉格语言小组”，其核心人物除雅各布森外则有简·穆卡洛夫斯基和勒内·韦勒克。到40年代，雅各布森与韦勒克移居美国，对美国的“新批评”产生了巨大影响。这一历史线索的梳理，澄清了从俄国形式主义经布拉格语言小组到英美新批评的传承关系。词条明确指出了这派批评把文学看作一种特殊的语言模式的观点，强调其本质在区别文学语言与日常语言，探讨文学语言自身的规律与内在关系。并以此为前提，集中讨论了雅各布森提出的“文学性”（literariness）的观点，穆卡洛夫斯基提出的“凸显”（foregrounding）表达行为、言语行为的观点、什克洛夫斯基提出的“陌生化”（defamiliarization）的观点，同时对英美新批评与俄国形式主义的联系与区别做了明晰的分析。词条写得颇有章法，准确鲜明，要言不烦。

这本术语汇编的另一个特色是收入了100多个新的词条，并对其中的一些重要术语做了重点的解说。如：Cultural Studies, Deconstruction, Dialogic Criticism, Discourse Analysis, Feminist Criticism, Interpretation and Hermeneutics, Linguistics in Literary Criticism, Marxist Criticism, Theories of Metaphor, Modernism and Postmodernism, New Criticism, New Historicism, Phenomenology and Criticism, Postcolonial Studies, Semiotics, Queer Theory, Poststructuralism, Psychological and Psychoanalytic Criticism, Reader-Response Criticism, Structuralist Criticism, Stylistics等都写得周密详实，重点突出。

本书的第三个特色是每一个词条都附加了供读者进一步学习研究的书目，而且书目的选择十分精当，还对一些书目做了简要的评述，例如，我们上面谈到过的Sonnet词条后附了Michael R. G. Spiller, L. G. Sterner, J. B. Leishman, Helen Vendler等人讨论英美十四行诗的专著，这些人都是研究十四行诗的专家，皆为不移之选，特别是Spiller的*The Development of the Sonnet: An Introduction*和*The Sonnet Sequence: A Study of the Strategies*，可以说是研究这

一诗体的必读书。在 Formalism 词条后则附了 Victor Erlich, R. L. Jackson and S. Rudy, R. Wellek, E. M. Thompson 等人的专著或编著,并列出了一些具有代表性的形式主义论文集,其中 Erlich 的 *Russian Formalism: History, Doctrine*, Wellek 的 *The Literary Theory and Aesthetics of the Prague School* 以及 Thompson 的 *Russian Formalism and Anglo-American New Criticism: A Comparative Study* 可以说都是必读之书;Lemon 和 Reese 合编的 *Russian Formalist Criticism: Four Essays* 以及 Jacobson 本人的 *Language in Literature* 都是流传颇广、影响甚大的形式主义文集。这些附加的书目及其简说为读者继续学习指明了途径,它带来的便利是不言而喻的。

本书的第四个特色是它的索引做得非常好。作者不仅给出了词条的索引,而且还给出了作者的索引。通过这两个索引,查找词条极为方便。另外,我们既可以看到一个词条和哪些人有关系,也可以看到一个人和哪些词条有关系。例如,我们可以看到在 Formalism 中, Jacobson、Shklovsky、Mukarovsky 等人是关键人物,反过来,我们也可以看到, Jacobson 不仅和 Formalism 有关,而且和 Figurative Language、Linguistics in Literary Criticism、Stylistics 等词条相关,从而加深了我们对这些词条相关性的认识。

本书的作者艾布拉姆斯 (M. H. Abrams) 是具有世界影响的美国著名批评家,以《镜与灯》(*The Mirror and Lamp: Romantic Theory and the Critical Tradition*)、《诺顿英国文学选集》(*The Norton Anthology of English Literature*) 与这本《文学术语汇编》享誉全球。

艾布拉姆斯于 1912 年出生于美国新泽西州的 Long Branch,曾经在哈佛大学求学,获得学士、硕士、博士学位,专攻文学批评与欧洲浪漫主义文学,1934-1935 年曾担任英国剑桥大学的研究员,是英国著名批评家理查兹 (I. A. Richards) 的高足。艾布拉姆斯长期在康奈尔大学任教,现为康奈尔大学荣誉退休教授,是康奈尔大学人文研究中心的开创者,他广招人才,力倡改革,为康奈尔大学人文学队伍和环境的建设建立了卓越功勋。该大学的英语系主任、著名批评家乔纳森·卡勒 (Jonathan Culler) 对他大加赞誉,称他在文学经典论战的年代开创了一种开放和相互尊重的学术氛围。著名批评家哈罗德·勃洛姆 (Harold Bloom) 与后现代小说家托马斯·品钦 (Thomas Pynchon) 等许多学者文人都出自他门下。

《镜与灯》是艾布拉姆斯在剑桥随理查兹做研究时构思的。书名“镜与灯”出自爱尔兰诗人叶芝的作品,从副标题可以清楚地看出,此书的研究重点是浪漫主义文学理论,涉及了文学观念接受的历史变迁,也可以说是一部思想史。

艾布拉姆斯在书中把艺术家、接受者、作品与世界四要素置于文学的总坐标上，讨论了这四者之间的互动关系，提出了模仿说、实用说、表现说、客观说四种主要的文学理论模式，在学术界和理论界产生了巨大影响。因此，《镜与灯》已被公认为文学理论的经典之作。这部书1953年出版，其中许多章节曾经多次修改，本世纪初被评为20世纪现代图书馆100本非虚构名作之一，排名第25位。

《诺顿英国文学选集》是艾布拉姆斯1962年构思并开始选编的，这本书像《文学术语汇编》和《镜与灯》一样，以深邃的学术眼光和既注重对传统的继承又强调理论创新的高水平获得了学界的青睐，普遍占领了世界许多大学的图书馆和讲堂，到2002年秋，此书也像《文学术语汇编》一样，印行了第7版。艾布拉姆斯也因此多次获得人文艺术的各种奖项。

许多论者称《文学术语汇编》是一本极有价值的工具书。一位论者说得好：倘若你是一位学文学的学者，那么，你应该把此书置于你的书案上，因为对你来说，它比任何书都更重要，更有助益；倘若你不是学文学的学者，譬如说，你既不是主修文学的本科生或研究生，又不是研究文学的教授，那么，这本书对你来说就仿佛《牛津英语词典》(OED)那样重要，完全值得你把它置于你的书架上或案头上。

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导 读

Acknowledgments

This edition, like earlier ones, has profited from the suggestions of teachers, and often also students, who proposed changes and additions that would enhance the usefulness of the *Glossary* to the broad range of courses in American, English, and foreign literatures. I welcome this opportunity to thank Nate Johnson, who served as my research assistant during a postgraduate year at Cornell; his wide-ranging knowledge and critical acumen have led to many improvements in the substance and phrasing of this version of the *Glossary*. Dianne Ferriss has been of great assistance in preparing and correcting the text of this edition. I am especially grateful for the valuable suggestions by Sean M. Andrews and Francis-Noël Thomas and by my colleague Jonathan Culler. Claire Brantley, Acquisitions Editor, Camille Adkins, Developmental Editor, Louise Slominsky and Andrea Joy Wright, Project Editors at Harcourt Brace have, firmly but tactfully, instigated and supervised my work on this revision. All these advisers, friends, and co-workers have helped me come closer to the goal announced in the original edition: to write the kind of handbook that I would have found most valuable when, as an undergraduate, I was an eager but sometimes bewildered student of literature and criticism.

❧ *A Note to the Reader* ❧

To find a literary word or phrase, always look it up in the *Index of Terms* at the end of this volume; the outer edges of this *Index* are stained black. Although the individual entries in the *Glossary* are in the alphabetic order of their title terms, the larger number of terms are discussed within the text of these entries, so that the page numbers of these discussions must be located by referring to the *Index*. For explanation of the typographical cues in the entries and in the *Index*, refer to the section of the Preface, above, entitled "How to Use the *Glossary*."

Preface

This book defines and discusses terms, critical theories, and points of view that are commonly used to classify, analyze, interpret, and write the history of works of literature. The individual entries, together with the guides to further reading included in most of them, are oriented especially toward undergraduate students of English, American, and other literatures. Over the decades, however, they have proved to be a useful work of reference also for advanced students, as well as for the general reader with literary interests.

The *Glossary* presents a series of succinct essays in the alphabetic order of the title word or phrase. Terms that are related but subsidiary, or that designate subclasses, are treated under the title heading of the primary or generic term; also, words that are commonly used in conjunction or as mutually defining contraries (*distance and involvement, empathy and sympathy, narrative and narratology*) are discussed in the same entry. The alternative organization of a literary handbook as a dictionary of terms, defined singly, makes dull reading and requires excessive repetition and cross-indexing; it may also be misleading; because the use and application of many terms become clear only in the context of other concepts to which they are related, subordinated, or opposed. The essay form makes it feasible to supplement the definition of a term with indications of its changes in meaning over time and of its diversity in current usage, in order to help readers to steer their way through the shifting references and submerged ambiguities of its literary applications. In addition, the discursive way of treating more or less technical terms provides the author with an opportunity to write entries that are readable as well as useful. In each entry, **boldface** indicates terms for which the entry provides the principal discussion; *italics* identify terms that occur in the entry but are discussed more fully elsewhere in the *Glossary*, on pages that are specified in the *Index of Terms*.

The purpose of this new edition is to keep the entries current with the rapid and incessant changes in the literary and critical scene, to take into account new publications in literature, criticism, and scholarship, and to take advantage of suggestions for improvements and additions, some of them solicited by the publisher but many generously volunteered by users of the *Glossary*. All the entries have been rewritten and a number have been drastically recast, especially those which describe the innovative and rapidly evolving critical theories of the last several decades. All of the revisions aim to make the expositions as lucid and precise as possible, and also to widen the range of

examples and references, especially of writings by women and by cultural groups that have only recently become prominent. In each entry, the list of suggested readings has been brought up to the date of this revision. Books originally published in non-English languages are listed in their English translations.

This edition discusses more than one-hundred new terms; and in response to requests by a number of users, each of the following items has been given a substantial new entry: *alienation effect*; *antihero*; *author and authorship*; *Black Arts Movement*; *cultural studies*; *deism*; *edition*; *epic theater*; *golden age*; *haiku*; *Harlem Renaissance*; *metaphor, theories of*; *narration, grammar of*; *postcolonial studies*; *Pre-Raphaelites*; *queer theory*; *science fiction and fantasy*; *socialist realism*; *sublime*; *textual criticism*; *Victorian and Victorianism*.

For the greater convenience of the user, the entries hitherto gathered in a special section, "Modern Theories of Literature and Criticism," have now been distributed into the alphabetic order of the other entries in the *Glossary*. A new entry, *theories of criticism, current*, lists the sequence of these movements, together with the approximate time when they became prominent in literary criticism, from *Russian formalism* in the 1920s and 30s to *postcolonial studies* and *queer theory* in the 1990s. An additional feature in this edition, requested by many users, is an *Index of Authors*, which precedes the *Index of Terms* at the end of the volume and lists all the significant references in the *Glossary* to authors and their writings.

How to Use the "Glossary"

To find the exposition of a literary term or phrase, always look it up in the *Index of Terms*, which is printed at the end of the volume; to make this *Index* easy to find, the outside edges of its pages are colored black. Although the separate entries in the *Glossary* are in the alphabetical order of their title terms, the greater number of terms are defined and discussed within the text of these entries, and so must be located by referring to the *Index*. In the *Index of Terms*, readers will find, in **boldface**, the page number of the principal discussion of the term; this is followed by the page numbers, in *italics*, of the occurrences of the term in other entries that clarify its meaning and illustrate its functioning in critical usage. (Note that the term referred to by a secondary, italicized reference may be a modified form of the index term; the forms "parodies" and "parodic," for example, refer to the entry on "parody.") Those terms, mainly of foreign origin, that are most likely to be mispronounced by a student are followed by simplified guides to pronunciation; the key to these guides is on the first page of the *Index of Terms*.

Some of the more general or inclusive items in the *Index* are supplemented by a list of closely related terms. These references expedite for the student the fuller exploration of a topic, and also make it easier for a teacher to locate entries that serve the needs of a particular subject of study. For

example, supplementary references identify the separate entries that treat the particular types and movements of literary *criticism*, the terms most relevant to the analysis of *style*, the particular entries that define and exemplify the types of *figurative language* or of literary *genres*, and the many entries that deal with the forms, component features, history, and critical treatments of the *drama*, *lyric*, and *novel*.