

PLOT

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At its most basic, every story is an attempt to answer the question *What happened?* In some cases, this question is easy to answer. J. R. R. Tolkien's *The Lord of the Rings* trilogy (1954–55) is full of battles, chases, and other heart-stopping dramatic action; Mark Twain's *Adventures of Huckleberry Finn* (1884) relates Huck and Jim's adventures as they travel down the Mississippi River. Yet if we ask what happens in other works of fiction, our initial answer might well be, "Not much." In one of the most pivotal scenes in Henry James's novel *The Portrait of a Lady* (1881), for example, a woman enters a room, sees a man sitting down and a woman standing up, and beats a hasty retreat. Not terribly exciting stuff, it would seem. Yet this event ends up radically transforming the lives of just about everyone in the novel. "On very tiny pivots do human lives turn" would thus seem to be one common message—or **theme**—of fiction.

All fiction, regardless of its subject matter, should make us ask, *What will happen next?* and *How will all this turn out?* And responsive readers of fiction will often pause to answer those questions, trying to articulate just what their expectations are and how the story has shaped them. But great fiction and responsive readers are often just as interested in questions about *why* things happen and about *how* the characters' lives are affected as a result. These *how* and *why* questions are likely to be answered very differently by different readers of the very same fictional work; as a result, such questions will often generate powerful essays, whereas mainly factual questions about what happens in the work usually won't.

PLOT VERSUS ACTION, SEQUENCE, AND SUBPLOT

The term **plot** is sometimes used to refer to the events recounted in a fictional work. But in this book we instead use the term **action** in this way, reserving the term *plot* for the way the author sequences and paces the events so as to shape our response and interpretation.

The difference between action and plot resembles the difference between ancient chronicles that merely list the events of a king's reign in chronological order and more modern histories that make a meaningful sequence out of those events. As the British novelist and critic E. M. Forster put it, "The king died and then the queen died" is not a plot, for it has not been "tampered with." "The queen died after the king died" describes the same events, but the order in which they are reported has been changed. The reader of the first sentence focuses on the king first, the reader of the second on the queen. The second sentence, moreover, subtly encourages us to speculate about *why* things happened, not just *what* happened and *when*: Did the queen die *because* her husband did? If so, was her death the result of her grief? Or was she murdered by a rival who saw the king's death as the perfect opportunity to get rid of her, too? Though our two sentences describe the same action, each has quite a different focus, emphasis, effect, and meaning thanks to its *sequencing*—the precise order in which events are related.

Like chronicles, many fictional works do relate events in chronological order, starting with the earliest and ending with the latest. Folktales, for example, have this sort of plot. But fiction writers have other choices; events need not be recounted in the particular order in which they happened. Quite often, then, a writer will choose to mix things up, perhaps opening a story with the most recent event and then moving backward to show us all that led up to it. Still other stories begin somewhere in the middle of the action or, to use the Latin term, *in medias res* (literally, "in the middle of things"). In such plots, events that occurred before the story's opening are sometimes presented in **flashbacks**. Conversely, a story might jump forward in time to recount a later episode or event in a **flashforward**. **Foreshadowing** occurs when an author merely gives subtle clues or hints about what will happen later in the story.

Though we often talk about *the* plot of a fictional work, however, keep in mind that some works, especially longer ones, have two or more. A plot that receives significantly less time and attention than another is called a **subplot**.

PACE

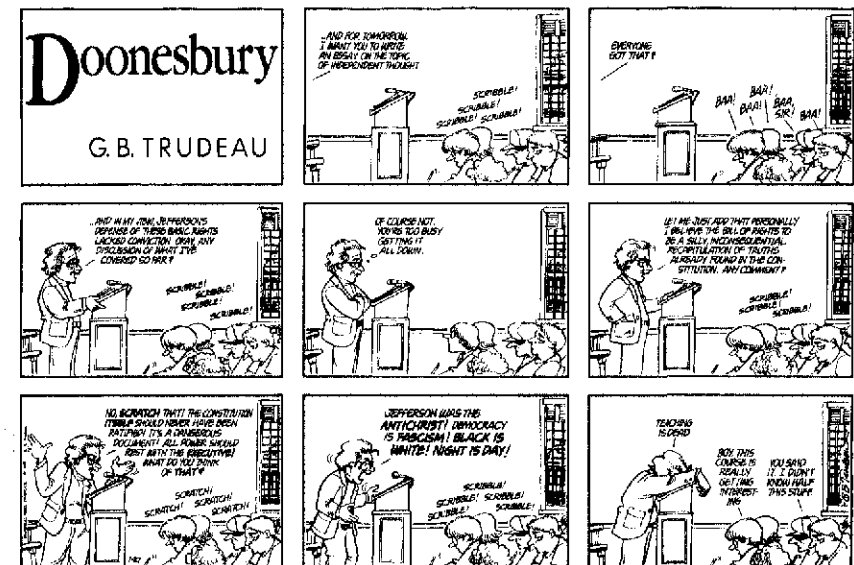
In life, we sometimes have little choice about how long a particular event lasts. If you want a driver's license, you may have to spend a boring hour or two at the motor vehicle office. And much as you might prefer to relax and enjoy your lunch, occasionally you have to scarf it down in the ten minutes it takes you to drive to campus.

One of the pleasures of turning experiences into a story, however, is that doing so gives a writer more power over them. In addition to choosing the order in which to recount events, the writer can also decide how much time and attention to devote to each. *Pacing*, or the duration of particular episodes—especially relative to each other and to the time they would have taken in real

life—is a vital tool of storytellers and another important factor to consider in analyzing plots. In all fiction, pace as much as sequence determines focus and emphasis, effect and meaning. And though it can be very helpful to differentiate between "fast-paced" and "slow-paced" fiction, all effective stories contain both faster and slower bits. When an author slows down to home in on a particular moment and scene, often introduced by a phrase such as "Later that evening . . ." or "The day before Maggie fell down . . .," we call this a **discriminated occasion**. For example, the first paragraph of Linda Brewer's *20/20* quickly and generally refers to events that occur over three days. Then Brewer suddenly slows down, pinpointing an incident that takes place on "[t]he third evening out. . ." That episode consumes four paragraphs of the story, even though the action described in those paragraphs accounts for only a few minutes of Bill and Ruthie's time. Next the story devotes two more paragraphs to an incident that occurs "[t]he next evening." In the last paragraph, Brewer speeds up again, telling us about the series of "wonderful sights" Ruthie sees between Indiana and Spokane, Washington.

CONFLICTS

Whatever their sequence and pace, all plots hinge on at least one **conflict**—some sort of struggle—and its resolution. Conflicts may be *external* or *internal*. External conflicts arise between characters and something or someone



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outside themselves. Adventure stories and films often present this sort of conflict in its purest form, keeping us poised on the edge of our seats as James Bond struggles to outwit and outfight an arch-villain intent on world domination or destruction. Yet external conflicts can also be much subtler, pitting an individual against nature or fate, against a social force such as racism or poverty, or against another person or group of people with a different way of looking at things (as in "20/20"). The cartoon on page 59 presents an external conflict of the latter type and one you may well see quite differently than the cartoonist does.

Internal conflicts occur when a character struggles to reconcile two competing desires, needs, or duties, or two parts or aspects of himself: His head, for instance, might tell him to do one thing, his heart another. Often, a conflict is simultaneously external and internal, as in the following brief folktale, in which a woman seems to struggle simultaneously with nature, with mortality, with God, and with her desire to hold on to someone she loves versus her need to let go.

JACOB AND WILHELM GRIMM

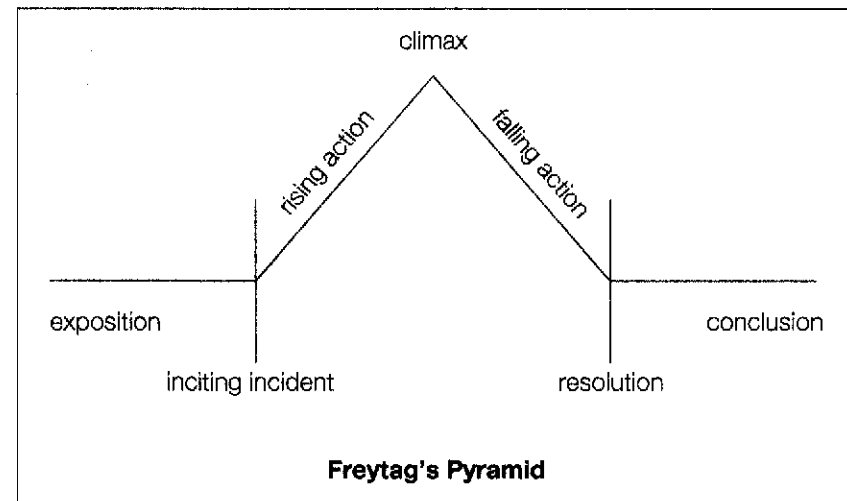
The Shroud

There was once a mother who had a little boy of seven years old, who was so handsome and lovable that no one could look at him without liking him, and she herself worshipped him above everything in the world. Now it so happened that he suddenly became ill, and God took him to himself; and for this the mother could not be comforted, and wept both day and night. But soon afterwards, when the child had been buried, it appeared by night in the places where it had sat and played during its life, and if the mother wept, it wept also, and, when morning came, it disappeared. As, however, the mother would not stop crying, it came one night, in the little white shroud in which it had been laid in its coffin, and with its wreath of flowers round its head, and stood on the bed at her feet, and said, "Oh, mother, do stop crying, or I shall never fall asleep in my coffin, for my shroud will not dry because of all thy tears which fall upon it." The mother was afraid when she heard that, and wept no more. The next night the child came again, and held a little light in its hand, and said, "Look, mother, my shroud is nearly dry, and I can rest in my grave." Then the mother gave her sorrow into God's keeping, and bore it quietly and patiently, and the child came no more, but slept in its little bed beneath the earth.

1812

THE FIVE PARTS OF PLOT

Even compact and simple plots, like that of *THE SHROUD*, have the same five parts or phases as lengthy and complex plots: (1) exposition, (2) rising action, (3) climax or turning point, (4) falling action, and (5) conclusion or resolution. The following diagram, named Freytag's pyramid after the nineteenth-century German scholar Gustav Freytag, maps out a typical plot structure:



Exposition

The first part of the plot, called the **exposition**, introduces the characters, their situations, and, usually, a time and place, giving us all the basic information we need to understand what is to come. In longer works of fiction, exposition may go on for paragraphs or even pages, and some exposition may well be deferred until later phases of the plot. But in our examples, the exposition is all up-front and brief: Trudeau's first panel shows us a teacher (or at least his words), a group of students, and a classroom; the Grimms' first sentence introduces a mother, her young son, and the powerful love she feels for him.

Exposition usually reveals some source or seed of potential conflict in the initial situation, of which the characters may be as yet unaware. In Trudeau's cartoon, the contrast between the talkative teacher, who expects "independent thought" from those in his class, and the silent, scribbling students suggests a conflict in the making. So, too, does the Grimms' statement that the mother "worshipped" her boy "above everything" else in a world in which nothing and no one lasts forever.

Rising Action

By suggesting a conflict, exposition may blend into the second phase of the plot, the **rising action**, which begins with an **inciting incident** or *destabilizing event*—that is, some action that destabilizes the initial situation and incites open conflict, as does the death of the little boy in the second sentence of the folktale. Typically, what keeps the action rising is a **complication**, an event that introduces a new conflict or intensifies an existing one. This happens in the third sentence of “The Shroud,” when the mother begins to see her little boy every night, although he is dead and buried.

Climax or Turning Point

The plot’s **climax** or **turning point** is the moment of greatest emotional intensity. (Notice the way boldface lettering appears and exclamation points replace question marks in the second-to-last panel of the *Doonesbury* strip.) The climax is also the moment when the outcome of the plot and the fate of the characters are decided. (A climax thus tends to be a literally *pivotal* incident that “turns things around,” or involves, in Aristotle’s words, “the change from one state of things [. . .] to its opposite.”) *THE SHROUD* reaches its climax when the mother stops crying after her little boy tells her that her grief is what keeps him from sleeping and that peaceful sleep is what he craves.

Here, as in many plots, the turning point involves a discovery or new insight or even an **epiphany**, a sudden revelation of truth inspired by a seemingly trivial event. As a result, turning points often involve internal or psychological events, even if they are prompted by, and lead to, external action. In “The Shroud,” for instance, the mother’s new insight results in different behavior: She “wept no more.”

Sometimes, though, critics differentiate between the story’s climax and the **crisis** that precedes and precipitates it. In “The Shroud,” for example, these critics would describe the crisis as the moment when the son confronts the mother with information that implicitly requires her to make a choice, the climax as the moment when she makes it. This distinction might be especially helpful when you grapple with longer works of fiction in which much more time and action intervenes between the crisis and the climax.

Falling Action

The **falling action** brings a release of emotional tension and moves us toward the resolution of the conflict or conflicts. This release occurs in “The Shroud” when the boy speaks for the second and last time, assuring his mother that her more peaceful demeanor is giving him peace as well.

In some works of fiction, resolution is achieved through an utterly unexpected twist, as in “Meanwhile, unknown to our hero, the marines were just

on the other side of the hill,” or “Susan rolled over in bed and realized the whole thing had been just a dream.” Such a device is sometimes called a **deus ex machina**. (This Latin term literally means “god out of a machine” and derives from the ancient theatrical practice of using a machine to lower onto the stage a god who solves the problems of the human characters.)

Conclusion

Finally, just as a plot begins with a situation that is later destabilized, so its **conclusion** presents us with a new and at least somewhat stable situation—one that gives a sense of closure because the conflict or conflicts have been resolved, if only temporarily and not necessarily in the way we or the characters had expected. In “The Shroud,” that resolution comes in the last sentence, in which the mother bears her grief “quietly and patiently” and the child quietly sleeps his last sleep. The final *Doonesbury* panel presents us with a situation that is essentially the reverse of the one with which the strip begins—with the teacher silently slumped over his podium, his students suddenly talking to each other instead of scribbling down his words. Many plots instead end with a situation that outwardly looks almost identical to the one with which they began. But thanks to all that has happened between the story’s beginning and its end, the final “steady state” at which the characters arrive can never be exactly the same as the one in which they started. A key question to ask at the end of a work of fiction is precisely why, as well as how, things are different.

Some fictional works may also include a final section called an **epilogue**, which ties up loose ends left dangling in the conclusion proper, updates us on what has happened to the characters since their conflicts were resolved, and/or provides some sort of commentary on the story’s larger significance. (An epilogue is thus a little like this paragraph, which comes after we have concluded our discussion of the five phases of plot but still feel that there is one more term to deal with.)

A Note on *Dénouement*

In discussions of plot, you will very often encounter the French word **dénouement** (literally, “untying,” as of a knot). In this anthology, however, we generally try to avoid using *dénouement* because it can be, and often is, used in three different, potentially contradictory ways—as a synonym for *falling action*; as a synonym for *conclusion* or *resolution*; and even as a label for a certain kind of epilogue.

Plot Summary: An Example and an Exercise

Although any good **plot summary** should be a relatively brief recounting (or *synopsis*) of what happens in a work of fiction, it need not necessarily tell what happens in the same order that the work itself does. As a result, many a plot summary is in fact more like an action summary in the sense that we define the terms *action* and *plot* in this book. But unless you have a good reason for reordering events, it is generally a good idea to follow the plot. The following plot summary of Raymond Carver's *CATHEDRAL* does just that:

The narrator is annoyed to learn that his wife's old friend Robert, a blind man who once employed her as a reader, is coming to visit the couple. The wife has corresponded with her friend for years via cassette tapes, describing the details of her early marriage, divorce, and remarriage to her husband, the narrator. Uncomfortable with the prospect of having a blind person in his home, the narrator is surprised by Robert's appearance and behavior: his booming voice and full beard are not what he expected, and he eats, drinks, and smokes marijuana with relish. After dinner the three watch television. After the narrator's wife has fallen asleep, a program about cathedrals begins. The narrator asks Robert if he knows what cathedrals look like or represent, and Robert, admitting that he does not, asks the narrator to draw one. With Robert's hand lying on top of his own, the narrator traces roofs, spires, arches, and even people. Eventually Robert instructs the narrator to close his eyes and continue drawing. The narrator reports that this experience was like nothing else in my life up to now. (From "Raymond Carver: 'Cathedral,'" *Characters in Twentieth Century Literature*, Book Two [Gale Research, 1995].)

Now try this yourself: Choose any of the stories in this anthology and write a one-paragraph plot summary. Then, in a paragraph or two, reflect on your choices about which details to include, which to omit, and how to order them (especially if you've deviated from the plot). What does your summary imply about the story's focus, meaning, and significance? Now repeat the exercise, summarizing the story in a different way and then reflecting on the significance and effect of the changes you've made.

Alternatively, try the same exercise with a friend who has also read the story: Each of you should write your own summary; then exchange them and (separately or together) write a few paragraphs comparing your summaries and reflecting on the significance of the similarities and differences.

COMMON PLOT TYPES

If most plots are essentially variations on the same five-part pattern, some plots have even more features in common. As you think back over the fiction you have read and the movies you have seen (not to mention the video games you have played), you might be surprised to discover just how many of their plots involve a quest—a character or characters' journey to find something or someone that seems, at least at first, of tremendous material or spiritual value. Traditionally, that requires a literal journey, the challenge being not only to find and acquire the object but also to return home with it. Such quests occur often in folktales and are a **convention** of chivalric **romance** and **epic**, in which the questing heroes are often men of high rank sent on their quests by someone with even greater power—a god, a wizard, a prophet, a king. And many works of modern fiction—from James Joyce's *ARABY* to Tolkien's *Lord of the Rings* to William Gibson's science-fiction classic *Neuromancer* (1984)—depend for their full effect on our knowledge of the conventions of traditional quest plots.

Many fictional works both ancient and modern also (or instead) follow patterns derived from the two most important and ancient forms (or subgenres) of drama—**tragedy** and **comedy**. Tragic plots, on the one hand, trace a downward movement centering on a character's fall from fortune into misfortune and isolation; they end unhappily, often with death. Comedic plots, on the other hand, tend to end happily, often with marriage or some other act of social integration and celebration.

. . .

As you read the stories in any work of fiction, think about what sets each one apart when it comes to plot; how each uses variations on common plot conventions; how each generates, fulfills, and often frustrates our expectations about the action to come; and how each uses sequence, pace, and other techniques to endow action with both emotional charge and meaning. When it comes to action and plot, every good story holds its own surprises and offers a unique answer to the nagging question *What happened?*

Questions about Plot

- Read the first few paragraphs and then stop. What potential for conflict do you see here? What do you expect to happen in the rest of the story?
- What is the inciting incident or destabilizing event? How and why does this event destabilize the initial situation?
- How would you describe the conflict that ultimately develops? To what extent is it external, internal, or both? What, if any, complications or secondary conflicts arise?
- Where, when, how, and why does the story defy your expectations about what will happen next? What in this story—and in your experience of other stories—created these expectations?
- What is the climax or turning point? Why and how so?
- How is the conflict resolved? How and why might this resolution fulfill or defy your expectations? How and why is the situation at the end of the story different from what it was at the beginning?
- Looking back at the story as a whole, what seems especially significant and effective about its plot, especially in terms of the sequence and pace of the action?
- Does this plot follow any common plot pattern? Is there, for example, a quest of any kind? Or does this plot follow a tragic or comedic pattern?