

FOUCAULT

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## What Is an Author?

In proposing this slightly odd question, I am conscious of the need for an explanation. To this day, the "author" remains an open question both with respect to its general function within discourse and in my own writings; that is, this question permits me to return to certain aspects of my own work which now appear ill-advised and misleading. In this regard, I wish to propose a necessary criticism and reevaluation.

For instance, my objective in *The Order of Things* had been to analyse verbal clusters as discursive layers which fall outside the familiar categories of a book, a work, or an author. But while I considered "natural history," the "analysis of wealth," and "political economy" in general terms, I neglected a similar analysis of the author and his works; it is perhaps due to this omission that I employed the names of authors throughout this book in a naive and often crude fashion. I spoke of Buffon, Cuvier, Ricardo,

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and others as well, but failed to realize that I had allowed their names to function ambiguously. This has proved an embarrassment to me in that my oversight has served to raise two pertinent objections.

It was argued that I had not properly described Buffon or his work and that my handling of Marx was pitifully inadequate in terms of the totality of his thought.<sup>1</sup> Although these objections were obviously justified, they ignored the task I had set myself: I had no intention of describing Buffon or Marx or of reproducing their statements or implicit meanings, but, simply stated, I wanted to locate the rules that formed a certain number of concepts and theoretical relationships in their works.<sup>2</sup> In addition, it was argued that I had created monstrous families by bringing together names as disparate as Buffon and Linnaeus or in placing Cuvier next to Darwin in defiance of the most readily observable family resemblances and natural ties.<sup>3</sup> This objection also seems inappropriate since I had never tried to establish a genealogical table of exceptional individuals, nor was I concerned in forming an intellectual daguerreotype of the scholar or naturalist of the seventeenth and eighteenth century. In fact, I had no intention of forming any family, whether holy or perverse. On the contrary, I wanted to determine—a much more modest task—the functional conditions of specific discursive practices.

Then why did I use the names of authors in *The Order of*

1. See "Entretiens sur Michel Foucault" (directed by J. Proust), *La Pensée*, No. 137 (1968), pp. 6-7 and 11; and also Sylvie le Bon, "Un Positivisme désespérée," *Esprit*, No. 5 (1967), pp. 1317-1319.

2. Foucault's purpose, concerned with determining the "codes" of discourse, is explicitly stated in the Preface to *The Order of Things*, p. xx. These objections—see "Entretiens sur Michel Foucault"—are obviously those of specialists who fault Foucault for his apparent failure to appreciate the facts and complexities of their theoretical field.

3. For an appreciation of Foucault's technique, see Jonathan Culler, "The Linguistic Basis of Structuralism," *Structuralism: An Introduction*, ed. David Robey (Oxford: Clarendon Press, 1973), pp. 27-28.

*Things?* Why not avoid their use altogether, or, short of that, why not define the manner in which they were used? These questions appear fully justified and I have tried to gauge their implications and consequences in a book that will appear shortly.<sup>4</sup> These questions have determined my effort to situate comprehensive discursive units, such as "natural history" or "political economy," and to establish the methods and instruments for delimiting, analyzing, and describing these unities. Nevertheless, as a privileged moment of individualization in the history of ideas, knowledge, and literature, or in the history of philosophy and science, the question of the author demands a more direct response. Even now, when we study the history of a concept, a literary genre, or a branch of philosophy, these concerns assume a relatively weak and secondary position in relation to the solid and fundamental role of an author and his works.

For the purposes of this paper, I will set aside a sociohistorical analysis of the author as an individual and the numerous questions that deserve attention in this context: how the author was individualized in a culture such as ours; the status we have given the author, for instance, when we began our research into authenticity and attribution; the systems of valorization in which he was included; or the moment when the stories of heroes gave way to an author's biography; the conditions that fostered the formulation of the fundamental critical category of "the man and his work." For the time being, I wish to restrict myself to the singular relationship that holds between an author and a text, the manner in which a text apparently points to this figure who is outside and precedes it.

Beckett supplies a direction: "What matter who's speaking, someone said, what matter who's speaking."<sup>5</sup> In an indifference

4. *The Archaeology of Knowledge*, trans. A. M. Sheridan Smith (London: Tavistock, 1972) was published in France in 1969; for discussion of the author, see esp. pp. 92-6, 122.

5. Samuel Beckett, *Texts for Nothing*, trans. Beckett (London: Calder & Boyars, 1974), p. 16.

such as this we must recognize one of the fundamental ethical principles of contemporary writing. It is not simply "ethical" because it characterizes our way of speaking and writing, but because it stands as an immanent rule, endlessly adopted and yet never fully applied. As a principle, it dominates writing as an ongoing practice and slights our customary attention to the finished product.<sup>6</sup> For the sake of illustration, we need only consider two of its major themes. First, the writing of our day has freed itself from the necessity of "expression"; it only refers to itself, yet it is not restricted to the confines of interiority. On the contrary, we recognize it in its exterior deployment.<sup>7</sup> This reversal transforms writing into an interplay of signs, regulated less by the content it signifies than by the very nature of the signifier. Moreover, it implies an action that is always testing the limits of its regularity, transgressing and reversing an order that it accepts and manipulates. Writing unfolds like a game that inevitably moves beyond its own rules and finally leaves them behind. Thus, the essential basis of this writing is not the exalted emotions related to the act of composition or the insertion of a subject into language. Rather, it is primarily concerned with creating an opening where the writing subject endlessly disappears.<sup>8</sup>

The second theme is even more familiar: it is the kinship between writing and death. This relationship inverts the age-old

6. Cf. Edward Said, "The Ethics of Language," *Diacritics*, 4 (1974), 32.

7. On "expression" and writing as self-referential, see Jean-Marie Benoist, "The End of Structuralism," *Twentieth Century Studies*, 3 (1970), 39; and Roland Barthes, *Critique et vérité* (Paris: Collection Tel Quel, 1966). As the following sentence implies, the "exterior deployment" of writing relates to Ferdinand de Saussure's emphasis of the acoustic quality of the signifier, an external phenomena of speech which, nevertheless, responds to its own internal and differential articulation.

8. On "transgression," see above, "A Preface to Transgression," p. 42; and "Language to Infinity," p. 56. Cf. Blanchot, *L'Espace littéraire* (Paris, 1955), p. 58; and David P. Funt, "Newer Criticism and Revolution," *Hudson Review*, 22 (1969), 87-96.

conception of Greek narrative or epic, which was designed to guarantee the immortality of a hero. The hero accepted an early death because his life, consecrated and magnified by death, passed into immortality; and the narrative redeemed his acceptance of death. In a different sense, Arabic stories, and *The Arabian Nights* in particular, had as their motivation, their theme and pretext, this strategy for defeating death. Storytellers continued their narratives late into the night to forestall death and to delay the inevitable moment when everyone must fall silent. Scheherazade's story is a desperate inversion of murder; it is the effort, throughout all those nights, to exclude death from the circle of existence.<sup>9</sup> This conception of a spoken or written narrative as a protection against death has been transformed by our culture. Writing is now linked to sacrifice and to the sacrifice of life itself; it is a voluntary obliteration of the self that does not require representation in books because it takes place in the everyday existence of the writer. Where a work had the duty of creating immortality, it now attains the right to kill, to become the murderer of its author. Flaubert, Proust, and Kafka are obvious examples of this reversal.<sup>10</sup> In addition, we find the link between writing and death manifested in the total effacement of the individual characteristics of the writer; the quibbling and confrontations that a writer generates between himself and his text cancel out the signs of his particular individuality. If we wish to know the writer in our day, it will be through the singularity of his absence and in his link to death, which has transformed him into a victim of his own writing. While all of this is familiar in philosophy, as in literary criticism, I am not certain that the consequences derived from the disappearance or death of the author have been fully explored or that the importance of this event has been appreciated. To be specific, it

9. See above, "Language to Infinity," p. 58.

10. The recent stories of John Barth, collected in *Lost in the Funhouse* and *Chimera*, supply interesting examples of Foucault's thesis. The latter work includes, in fact, a novelistic reworking of *Arabian Nights*.

seems to me that the themes destined to replace the privileged position accorded the author have merely served to arrest the possibility of genuine change. Of these, I will examine two that seem particularly important.

To begin with, the thesis concerning a work. It has been understood that the task of criticism is not to reestablish the ties between an author and his work or to reconstitute an author's thought and experience through his works and, further, that criticism should concern itself with the structures of a work, its architectonic forms, which are studied for their intrinsic and internal relationships.<sup>11</sup> Yet, what of a context that questions the concept of a work? What, in short, is the strange unit designated by the term, work? What is necessary to its composition, if a work is not something written by a person called an "author?" Difficulties arise on all sides if we raise the question in this way. If an individual is not an author, what are we to make of those things he has written or said, left among his papers or communicated to others? Is this not properly a work? What, for instance, were Sade's papers before he was consecrated as an author? Little more, perhaps, than roles of paper on which he endlessly unravelled his fantasies while in prison.

Assuming that we are dealing with an author, is everything he wrote and said, everything he left behind, to be included in his work? This problem is both theoretical and practical. If we wish to publish the complete works of Nietzsche, for example, where do we draw the line? Certainly, everything must be published, but can we agree on what "everything" means? We will, of course, include everything that Nietzsche himself published, along with the drafts of his works, his plans for aphorisms, his marginal notations and corrections. But what if, in a notebook filled with aphorisms, we find a reference, a reminder of an appointment, an address, or a laundry bill, should this be included

11. Plainly a prescription for criticism as diverse as G. Wilson Knight's *The Wheel of Fire* (London, 1930) and Roland Barthes' *On Racine*, trans. Richard Howard (New York: Hill & Wang, 1964).

in his works? Why not? These practical considerations are endless once we consider how a work can be extracted from the millions of traces left by an individual after his death. Plainly, we lack a theory to encompass the questions generated by a work and the empirical activity of those who naively undertake the publication of the complete works of an author often suffers from the absence of this framework. Yet more questions arise. Can we say that *The Arabian Nights*, and *Stromates* of Clement of Alexandria, or the *Lives* of Diogenes Laertes constitute works? Such questions only begin to suggest the range of our difficulties, and, if some have found it convenient to bypass the individuality of the writer or his status as an author to concentrate on a work, they have failed to appreciate the equally problematic nature of the word "work" and the unity it designates.

Another thesis has detained us from taking full measure of the author's disappearance. It avoids confronting the specific event that makes it possible and, in subtle ways, continues to preserve the existence of the author. This is the notion of *écriture*.<sup>12</sup> Strictly speaking, it should allow us not only to circumvent references to an author, but to situate his recent absence. The conception of *écriture*, as currently employed, is concerned with neither the act of writing nor the indications, as symptoms or signs within a text, of an author's meaning; rather, it stands for a remarkably profound attempt to elaborate the conditions of any text, both the conditions of its spatial dispersion and its temporal deployment.

It appears, however, that this concept, as currently employed,

12. We have kept the French, *écriture*, with its double reference to the act of writing and to the primordial (and metaphysical) nature of writing as an entity in itself, since it is the term that best identifies the program of Jacques Derrida. Like the theme of a self-referential writing, it too builds on a theory of the sign and denotes writing as the interplay of presence and absence in that "signs represent the present in its absence" ("Differance," in *Speech and Phenomena*, trans. David B. Allison [Evanston Ill.: Northwestern Univ. Press, 1973], p. 138). See J. Derrida, *De la grammatologie* (Paris: Editions de Minuit, 1967).

has merely transposed the empirical characteristics of an author to a transcendental anonymity. The extremely visible signs of the author's empirical activity are effaced to allow the play, in parallel or opposition, of religious and critical modes of characterization. In granting a primordial status to writing, do we not, in effect, simply reinscribe in transcendental terms the theological affirmation of its sacred origin or a critical belief in its creative nature? To say that writing, in terms of the particular history it made possible, is subjected to forgetfulness and repression, is this not to reintroduce in transcendental terms the religious principle of hidden meanings (which require interpretation) and the critical assumption of implicit significations, silent purposes, and obscure contents (which give rise to commentary)? Finally, is not the conception of writing as absence a transposition into transcendental terms of the religious belief in a fixed and continuous tradition or the aesthetic principle that proclaims the survival of the work as a kind of enigmatic supplement of the author beyond his own death?<sup>13</sup>

This conception of *écriture* sustains the privileges of the author through the safeguard of the a priori; the play of representations that formed a particular image of the author is extended within a gray neutrality. The disappearance of the author—since Mallarmé, an event of our time—is held in check by the transcendental. Is it not necessary to draw a line between those who believe that we can continue to situate our present discontinuities within the historical and transcendental tradition of the nineteenth century and those who are making a great effort to liberate themselves, once and for all, from this conceptual framework?<sup>14</sup>

13. On "supplement," see *Speech and Phenomena*, pp. 88–104.

14. This statement is perhaps the polemical ground of Foucault's dissociation from phenomenology (and its evolution through Sartre into a Marxist discipline) on one side and structuralism on the other. It also marks his concern that his work be judged on its own merits and not on its reputed relationship to other movements. This insistence informs his appreciation of Nietzsche in "Nietzsche, Genealogy, History" as well as his sense of his own position in the Conclusion of *The Archaeology of Knowledge*.



It is obviously insufficient to repeat empty slogans: the author has disappeared; God and man died a common death.<sup>15</sup> Rather, we should reexamine the empty space left by the author's disappearance; we should attentively observe, along its gaps and fault lines, its new demarcations, and the reapportionment of this void; we should await the fluid functions released by this disappearance. In this context we can briefly consider the problems that arise in the use of an author's name. What is the name of an author? How does it function? Far from offering a solution, I will attempt to indicate some of the difficulties related to these questions.

The name of an author poses all the problems related to the category of the proper name. (Here, I am referring to the work of John Searle,<sup>16</sup> among others.) Obviously not a pure and simple reference, the proper name (and the author's name as well) has other than indicative functions. It is more than a gesture, a finger pointed at someone; it is, to a certain extent, the equivalent of a description. When we say "Aristotle," we are using a word that means one or a series of definite descriptions of the type: "the author of the *Analytics*," or "the founder of ontology," and so forth.<sup>17</sup> Furthermore, a proper name has other functions than that of signification: when we discover that Rimbaud has not written *La Chasse spirituelle*, we cannot maintain that the meaning of the proper name or this author's name has been altered. The proper name and the name of an author oscillate between the poles of description and designation, and, granting that they are linked to what they name, they are not totally determined either by their descriptive or designative functions.<sup>18</sup> Yet—and it is here that the specific difficulties attend-

15. Nietzsche, *The Gay Science*, III, 108.

16. John Searle, *Speech Acts: An Essay in the Philosophy of Language* (Cambridge: Cambridge University Press, 1969), pp. 162–174.

17. *Ibid.*, p. 169.

18. *Ibid.*, p. 172.

ing an author's name appear—the link between a proper name and the individual being named and the link between an author's name and that which it names are not isomorphous and do not function in the same way; and these differences require clarification.

To learn, for example, that Pierre Dupont does not have blue eyes, does not live in Paris, and is not a doctor does not invalidate the fact that the name, Pierre Dupont, continues to refer to the same person; there has been no modification of the designation that links the name to the person. With the name of an author, however, the problems are far more complex. The disclosure that Shakespeare was not born in the house that tourists now visit would not modify the functioning of the author's name, but, if it were proved that he had not written the sonnets that we attribute to him, this would constitute a significant change and affect the manner in which the author's name functions. Moreover, if we establish that Shakespeare wrote Bacon's *Organon* and that the same author was responsible for both the works of Shakespeare and those of Bacon, we would have introduced a third type of alteration which completely modifies the functioning of the author's name. Consequently, the name of an author is not precisely a proper name among others.

Many other factors sustain this paradoxical singularity of the name of an author. It is altogether different to maintain that Pierre Dupont does not exist and that Homer or Hermes Trismegistes have never existed. While the first negation merely implies that there is no one by the name of Pierre Dupont, the second indicates that several individuals have been referred to by one name or that the real author possessed none of the traits traditionally associated with Homer or Hermes. Neither is it the same thing to say that Jacques Durand, not Pierre Dupont, is the real name of X and that Stendhal's name was Henri Beyle. We could also examine the function and meaning of such statements as "Bourbaki is this or that person," and "Victor Eremita, Climacus, Anticlimacus, Frater Taciturnus, Constantin Constantius, all of these are Kierkegaard."

These differences indicate that an author's name is not simply an element of speech (as a subject, a complement, or an element that could be replaced by a pronoun or other parts of speech). Its presence is functional in that it serves as a means of classification. A name can group together a number of texts and thus differentiate them from others. A name also establishes different forms of relationships among texts. Neither Hermes nor Hippocrates existed in the sense that we can say Balzac existed, but the fact that a number of texts were attached to a single name implies that relationships of homogeneity, filiation, reciprocal explanation, authentication, or of common utilization were established among them. Finally, the author's name characterizes a particular manner of existence of discourse. Discourse that possesses an author's name is not to be immediately consumed and forgotten; neither is it accorded the momentary attention given to ordinary, fleeting words. Rather, its status and its manner of reception are regulated by the culture in which it circulates.

We can conclude that, unlike a proper name, which moves from the interior of a discourse to the real person outside who produced it, the name of the author remains at the contours of texts—separating one from the other, defining their form, and characterizing their mode of existence. It points to the existence of certain groups of discourse and refers to the status of this discourse within a society and culture. The author's name is not a function of a man's civil status, nor is it fictional; it is situated in the breach, among the discontinuities, which gives rise to new groups of discourse and their singular mode of existence.<sup>19</sup> Con-

19. This is a particularly important point and brings together a great many of Foucault's insights concerning the relationship of an author (subject) to discourse. It reflects his understanding of the traditional and often unexamined unities of discourse whose actual discontinuities are resolved in either of two ways: by reference to an originating subject or to a language, conceived as plenitude, which supports the activities of commentary or interpretation. But since Foucault rejects the belief in the presumed fullness of language that underlies discourse, the author is subjected to the same fragmenta-

sequently, we can say that in our culture, the name of an author is a variable that accompanies only certain texts to the exclusion of others: a private letter may have a signatory, but it does not have an author; a contract can have an underwriter, but not an author; and, similarly, an anonymous poster attached to a wall may have a writer, but he cannot be an author. In this sense, the function of an author is to characterize the existence, circulation, and operation of certain discourses within a society.



In dealing with the "author" as a function of discourse, we must consider the characteristics of a discourse that support this use and determine its difference from other discourses. If we limit our remarks to only those books or texts with authors, we can isolate four different features.

First, they are objects of appropriation; the form of property they have become is of a particular type whose legal codification was accomplished some years ago. It is important to notice, as well, that its status as property is historically secondary to the penal code controlling its appropriation. Speeches and books were assigned real authors, other than mythical or important religious figures, only when the author became subject to punishment and to the extent that his discourse was considered transgressive. In our culture—undoubtedly in others as well—discourse was not originally a thing, a product, or a possession, but an action situated in a bipolar field of sacred and profane, lawful and unlawful, religious and blasphemous. It was a gesture charged with risks long before it became a possession caught in a circuit of property values.<sup>20</sup> But it was at the moment when a

tion which characterizes discourse and he is delineated as a discontinuous series; for example, see *L'Ordre du discours*, pp. 54-55 and 61-62.

20. In a seminar entitled "L'Épreuve et l'enquête," which Foucault conducted at the University of Montreal in the spring of 1974, he centered the debate around the following question: is the general conviction that truth derives from and is sustained by knowledge

system of ownership and strict copyright rules were established (toward the end of the eighteenth and beginning of the nineteenth century) that the transgressive properties always intrinsic to the act of writing became the forceful imperative of literature.<sup>21</sup> It is as if the author, at the moment he was accepted into the social order of property which governs our culture, was compensating for his new status by reviving the older bipolar field of discourse in a systematic practice of transgression and by restoring the danger of writing which, on another side, had been conferred the benefits of property.

Secondly, the "author-function"<sup>22</sup> is not universal or constant in all discourse. Even within our civilization, the same types of texts have not always required authors; there was a time when those texts which we now call "literary" (stories, folk tales, epics, and tragedies) were accepted, circulated, and valorized without any question about the identity of their author. Their anonymity was ignored because their real or supposed age was a sufficient guarantee of their authenticity. Texts, however, that we now call "scientific" (dealing with cosmology and the heavens, medicine or illness, the natural sciences or geography) were only considered

not simply a recent phenomenon, a limited case of the ancient and widespread belief that truth is a function of events? In an older time and in other cultures, the search for truth was hazardous in the extreme and truth resided in a danger zone, but if this was so and if truth could only be approached after a long preparation or through the details of a ritualized procedure, it was because it represented power. Discourse, for these cultures, was an active appropriation of power and to the extent that it was successful, it contained the power of truth itself, charged with all its risks and benefits.

21. Cf. *The Order of Things*, p. 300; and above, "A Preface to Transgression," pp. 30-33.

22. Foucault's phrasing of the "author-function" has been retained. This concept should not be confused (as it was by Goldmann in the discussion that followed Foucault's presentation) with the celebrated theme of the "death of man" in *The Order of Things* (pp. 342 and 386). On the contrary, Foucault's purpose is to revitalize the debate surrounding the subject by situating the subject, as a fluid function, within the space cleared by archaeology.



truthful during the Middle Ages if the name of the author was indicated. Statements on the order of "Hippocrates said . . ." or "Pliny tells us that . . ." were not merely formulas for an argument based on authority; they marked a proven discourse. In the seventeenth and eighteenth centuries, a totally new conception was developed when scientific texts were accepted on their own merits and positioned within an anonymous and coherent conceptual system of established truths and methods of verification. Authentication no longer required reference to the individual who had produced them; the role of the author disappeared as an index of truthfulness and, where it remained as an inventor's name, it was merely to denote a specific theorem or proposition, a strange effect, a property, a body, a group of elements, or pathological syndrome.

At the same time, however, "literary" discourse was acceptable only if it carried an author's name; every text of poetry or fiction was obliged to state its author and the date, place, and circumstance of its writing. The meaning and value attributed to the text depended on this information. If by accident or design a text was presented anonymously, every effort was made to locate its author. Literary anonymity was of interest only as a puzzle to be solved as, in our day, literary works are totally dominated by the sovereignty of the author. (Undoubtedly, these remarks are far too categorical. Criticism has been concerned for some time now with aspects of a text not fully dependent on the notion of an individual creator; studies of genre or the analysis of recurring textual motifs and their variations from a norm other than the author. Furthermore, where in mathematics the author has become little more than a handy reference for a particular theorem or group of propositions, the reference to an author in biology and medicine, or to the date of his research has a substantially different bearing. This latter reference, more than simply indicating the source of information, attests to the "reliability" of the evidence, since it entails an appreciation of the techniques and

experimental materials available at a given time and in a particular laboratory.)

The third point concerning this "author-function" is that it is not formed spontaneously through the simple attribution of a discourse to an individual. It results from a complex operation whose purpose is to construct the rational entity we call an author. Undoubtedly, this construction is assigned a "realistic" dimension as we speak of an individual's "profundity" or "creative" power, his intentions or the original inspiration manifested in writing. Nevertheless, these aspects of an individual, which we designate as an author (or which comprise an individual as an author), are projections, in terms always more or less psychological, of our way of handling texts: in the comparisons we make, the traits we extract as pertinent, the continuities we assign, or the exclusions we practice. In addition, all these operations vary according to the period and the form of discourse concerned. A "philosopher" and a "poet" are not constructed in the same manner; and the author of an eighteenth-century novel was formed differently from the modern novelist. There are, nevertheless, transhistorical constants in the rules that govern the construction of an author.

In literary criticism, for example, the traditional methods for defining an author—or, rather, for determining the configuration of the author from existing texts—derive in large part from those used in the Christian tradition to authenticate (or to reject) the particular texts in its possession. Modern criticism, in its desire to "recover" the author from a work, employs devices strongly reminiscent of Christian exegesis when it wished to prove the value of a text by ascertaining the holiness of its author. In *De Viris Illustribus*, Saint Jerome maintains that homonymy is not proof of the common authorship of several works, since many individuals could have the same name or someone could have perversely appropriated another's name. The name, as an individual mark, is not sufficient as it relates to a textual tradition.



How, then, can several texts be attributed to an individual author? What norms, related to the function of the author, will disclose the involvement of several authors? According to Saint Jerome, there are four criteria: the texts that must be eliminated from the list of works attributed to a single author are those inferior to the others (thus, the author is defined as a standard level of quality); those whose ideas conflict with the doctrine expressed in the others (here the author is defined as a certain field of conceptual or theoretical coherence); those written in a different style and containing words and phrases not ordinarily found in the other works (the author is seen as a stylistic uniformity); and those referring to events or historical figures subsequent to the death of the author (the author is thus a definite historical figure in which a series of events converge). Although modern criticism does not appear to have these same suspicions concerning authentication, its strategies for defining the author present striking similarities. The author explains the presence of certain events within a text, as well as their transformations, distortions, and their various modifications (and this through an author's biography or by reference to his particular point of view, in the analysis of his social preferences and his position within a class or by delineating his fundamental objectives). The author also constitutes a principle of unity in writing where any unevenness of production is ascribed to changes caused by evolution, maturation, or outside influence. In addition, the author serves to neutralize the contradictions that are found in a series of texts. Governing this function is the belief that there must be—at a particular level of an author's thought, of his conscious or unconscious desire—a point where contradictions are resolved, where the incompatible elements can be shown to relate to one another or to cohere around a fundamental and originating contradiction. Finally, the author is a particular source of expression who, in more or less finished forms, is manifested equally well, and with similar validity, in a text; in letters, fragments, drafts,

and so forth. Thus, even while Saint Jerome's four principles of authenticity might seem largely inadequate to modern critics, they, nevertheless, define the critical modalities now used to display the function of the author.<sup>23</sup>

However, it would be false to consider the function of the author as a pure and simple reconstruction after the fact of a text given as passive material, since a text always bears a number of signs that refer to the author. Well known to grammarians, these textual signs are personal pronouns, adverbs of time and place, and the conjugation of verbs.<sup>24</sup> But it is important to note that these elements have a different bearing on texts with an author and on those without one. In the latter, these "shifters" refer to a real speaker and to an actual deictic situation, with certain exceptions such as the case of indirect speech in the first person. When discourse is linked to an author, however, the role of "shifters" is more complex and variable. It is well known that in a novel narrated in the first person, neither the first person pronoun, the present indicative tense, nor, for that matter, its signs of localization refer directly to the writer, either to the time when he wrote, or to the specific act of writing; rather, they stand for a "second self"<sup>25</sup> whose similarity to the author is never fixed and undergoes considerable alteration within the course of a single book. It would be as false to seek the author in relation to the actual writer as to the fictional narrator; the "author-function" arises out of their scission—in the division and distance of the two. One might object that this phenomenon only

23. See Evaristo Arns, *La Technique du livre d'après Saint Jerome* (Paris, 1953).

24. On personal pronouns ("shifters"), see R. Jakobson, *Selected Writings* (Paris: Mouton, 1971), II, 130-32; and *Essais de linguistique générale* (Paris, 1966), p. 252. For its general implications, see Eugenio Donato, "Of Structuralism and Literature," *MLN*, 82 (1967), 556-58. On adverbs of time and place, see Emile Benveniste, *Problèmes de la linguistique générale* (Paris, 1966), pp. 237-50.

25. Cf. Wayne C. Booth, *The Rhetoric of Fiction* (Chicago: Univ. of Chicago Press, 1961), pp. 67-77.

applies to novels or poetry, to a context of "quasi-discourse," but, in fact, all discourse that supports this "author-function" is characterized by this plurality of egos. In a mathematical treatise, the ego who indicates the circumstances of composition in the preface is not identical, either in terms of his position or his function, to the "I" who concludes a demonstration within the body of the text. The former implies a unique individual who, at a given time and place, succeeded in completing a project, whereas the latter indicates an instance and plan of demonstration that anyone could perform provided the same set of axioms, preliminary operations, and an identical set of symbols were used. It is also possible to locate a third ego: one who speaks of the goals of his investigation, the obstacles encountered, its results, and the problems yet to be solved and this "I" would function in a field of existing or future mathematical discourses. We are not dealing with a system of dependencies where a first and essential use of the "I" is reduplicated, as a kind of fiction, by the other two. On the contrary, the "author-function" in such discourses operates so as to effect the simultaneous dispersion of the three egos.<sup>26</sup>

Further elaboration would, of course, disclose other characteristics of the "author-function," but I have limited myself to the four that seemed the most obvious and important. They can be summarized in the following manner: the "author-function" is tied to the legal and institutional systems that circumscribe, determine, and articulate the realm of discourses; it does not operate in a uniform manner in all discourses, at all times, and in any given culture; it is not defined by the spontaneous attribution of a text to its creator, but through a series of precise and complex procedures; it does not refer, purely and simply, to an

26. This conclusion relates to Foucault's concern in developing a "philosophy of events" as described in *L'Ordre du discours*, pp. 60-61: "I trust that we can agree that I do not refer to a succession of moments in time, nor to a diverse plurality of thinking subjects; I refer to a caesura which fragments the moment and disperses the subject into a plurality of possible positions and functions."

actual individual insofar as it simultaneously gives rise to a variety of egos and to a series of subjective positions that individuals of any class may come to occupy.



I am aware that until now I have kept my subject within unjustifiable limits; I should also have spoken of the "author-function" in painting, music, technical fields, and so forth. Admitting that my analysis is restricted to the domain of discourse, it seems that I have given the term "author" an excessively narrow meaning. I have discussed the author only in the limited sense of a person to whom the production of a text, a book, or a work can be legitimately attributed. However, it is obvious that even within the realm of discourse a person can be the author of much more than a book—of a theory, for instance, of a tradition or a discipline within which new books and authors can proliferate. For convenience, we could say that such authors occupy a "transdiscursive" position.

Homer, Aristotle, and the Church Fathers played this role, as did the first mathematicians and the originators of the Hippocratic tradition. This type of author is surely as old as our civilization. But I believe that the nineteenth century in Europe produced a singular type of author who should not be confused with "great" literary authors, or the authors of canonical religious texts, and the founders of sciences. Somewhat arbitrarily, we might call them "initiators of discursive practices."

The distinctive contribution of these authors is that they produced not only their own work, but the possibility and the rules of formation of other texts. In this sense, their role differs entirely from that of a novelist, for example, who is basically never more than the author of his own text. Freud is not simply the author of *The Interpretation of Dreams* or of *Wit and its Relation to the Unconscious* and Marx is not simply the author of the *Communist Manifesto* or *Capital*: they both established the endless possibility of discourse. Obviously, an easy objection can be

made. The author of a novel may be responsible for more than his own text; if he acquires some "importance" in the literary world, his influence can have significant ramifications. To take a very simple example, one could say that Ann Radcliffe did not simply write *The Mysteries of Udolpho* and a few other novels, but also made possible the appearance of Gothic Romances at the beginning of the nineteenth century. To this extent, her function as an author exceeds the limits of her work. However, this objection can be answered by the fact that the possibilities disclosed by the initiators of discursive practices (using the examples of Marx and Freud, whom I believe to be the first and the most important) are significantly different from those suggested by novelists. The novels of Ann Radcliffe put into circulation a certain number of resemblances and analogies patterned on her work—various characteristic signs, figures, relationships, and structures that could be integrated into other books. In short, to say that Ann Radcliffe created the Gothic Romance means that there are certain elements common to her works and to the nineteenth-century Gothic romance: the heroine ruined by her own innocence, the secret fortress that functions as a counter-city, the outlaw-hero who swears revenge on the world that has cursed him, etc. On the other hand, Marx and Freud, as "initiators of discursive practices," not only made possible a certain number of analogies that could be adopted by future texts, but, as importantly, they also made possible a certain number of differences. They cleared a space for the introduction of elements other than their own, which, nevertheless, remain within the field of discourse they initiated. In saying that Freud founded psychoanalysis, we do not simply mean that the concept of libido or the techniques of dream analysis reappear in the writings of Karl Abraham or Melanie Klein, but that he made possible a certain number of differences with respect to his books, concepts, and hypotheses, which all arise out of psychoanalytic discourse.

Is this not the case, however, with the founder of any new science or of any author who successfully transforms an existing

science? After all, Galileo is indirectly responsible for the texts of those who mechanically applied the laws he formulated, in addition to having paved the way for the production of statements far different from his own. If Cuvier is the founder of biology and Saussure of linguistics, it is not because they were imitated or that an organic concept or a theory of the sign was uncritically integrated into new texts, but because Cuvier, to a certain extent, made possible a theory of evolution diametrically opposed to his own system and because Saussure made possible a generative grammar radically different from his own structural analysis. Superficially, then, the initiation of discursive practices appears similar to the founding of any scientific endeavor, but I believe there is a fundamental difference.

In a scientific program, the founding act is on an equal footing with its future transformations: it is merely one among the many modifications that it makes possible. This interdependence can take several forms. In the future development of a science, the founding act may appear as little more than a single instance of a more general phenomenon that has been discovered. It might be questioned, in retrospect, for being too intuitive or empirical and submitted to the rigors of new theoretical operations in order to situate it in a formal domain. Finally, it might be thought a hasty generalization whose validity should be restricted. In other words, the founding act of a science can always be rechanneled through the machinery of transformations it has instituted.<sup>27</sup>

On the other hand, the initiation of a discursive practice is heterogeneous to its ulterior transformations. To extend psychoanalytic practice, as initiated by Freud, is not to presume a formal generality that was not claimed at the outset; it is to explore a number of possible applications. To limit it is to isolate in the original texts a small set of propositions or statements that are recognized as having an inaugurative value and that mark other Freudian concepts or theories as derivative. Finally, there are no

27. Cf. the discussion of disciplines in *L'Ordre du discours*, pp. 31-38.

"false" statements in the work of these initiators; those statements considered inessential or "prehistoric," in that they are associated with another discourse, are simply neglected in favor of the more pertinent aspects of the work. The initiation of a discursive practice, unlike the founding of a science, overshadows and is necessarily detached from its later developments and transformations. As a consequence, we define the theoretical validity of a statement with respect to the work of the initiator, whereas in the case of Galileo or Newton, it is based on the structural and intrinsic norms established in cosmology or physics. Stated schematically, the work of these initiators is not situated in relation to a science or in the space it defines; rather, it is science or discursive practice that relate to their works as the primary points of reference.

In keeping with this distinction, we can understand why it is inevitable that practitioners of such discourses must "return to the origin." Here, as well, it is necessary to distinguish a "return" from scientific "rediscoveries" or "reactivations." "Rediscoveries" are the effects of analogy or isomorphism with current forms of knowledge that allow the perception of forgotten or obscured figures. For instance, Chomsky in his book on Cartesian grammar<sup>28</sup> "rediscovered" a form of knowledge that had been in use from Cordemoy to Humboldt. It could only be understood from the perspective of generative grammar because this later manifestation held the key to its construction: in effect, a retrospective codification of an historical position. "Reactivation" refers to something quite different: the insertion of discourse into totally new domains of generalization, practice, and transformations. The history of mathematics abounds in examples of this phenomenon as the work of Michel Serres on mathematical anamnesis shows.<sup>29</sup>

The phrase, "return to," designates a movement with its proper

28. Noam Chomsky, *Cartesian Linguistics* (New York: Harper & Row, 1966).

29. *La Communication: Hermes I* (Paris: Editions de Minuit, 1968), pp. 78-112.

specificity, which characterizes the initiation of discursive practices. If we return, it is because of a basic and constructive omission, an omission that is not the result of accident or incomprehension.<sup>30</sup> In effect, the act of initiation is such, in its essence, that it is inevitably subjected to its own distortions; that which displays this act and derives from it is, at the same time, the root of its divergences and travesties. This nonaccidental omission must be regulated by precise operations that can be situated, analysed, and reduced in a return to the act of initiation. The barrier imposed by omission was not added from the outside; it arises from the discursive practice in question, which gives it its law. Both the cause of the barrier and the means for its removal, this omission—also responsible for the obstacles that prevent returning to the act of initiation—can only be resolved by a return. In addition, it is always a return to a text in itself, specifically, to a primary and unadorned text with particular attention to those things registered in the interstices of the text, its gaps and absences. We return to those empty spaces that have been masked by omission or concealed in a false and misleading plenitude. In these rediscoveries of an essential lack, we find the oscillation of two characteristic responses: "This point was made—you can't help seeing it if you know how to read"; or, inversely, "No, that point is not made in any of the printed words in the text, but it is expressed through the words, in their relationships and in the distance that separates them." It follows naturally that this return, which is a part of the discursive mechanism, constantly introduces modifications and that the return to a text is not a historical supplement that would come to fix itself upon the primary discursivity and redouble it in the form of an ornament which, after all, is not essential. Rather, it is an effective and necessary means of transforming discursive practice. A study of Galileo's works could alter our knowledge

30. For a discussion of the recent reorientation of the sign, see Foucault's "Nietzsche, Freud, Marx." On the role of repetition, Foucault writes in *L'Ordre du discours*: "The new is not found in what is said, but in the event of its return" (p. 28); see also below, "Theatrum Philosophicum," pp. 186-196.

of the history, but not the science, of mechanics; whereas, a re-examination of the books of Freud or Marx can transform our understanding of psychoanalysis or Marxism.

A last feature of these returns is that they tend to reinforce the enigmatic link between an author and his works. A text has an inaugurative value precisely because it is the work of a particular author, and our returns are conditioned by this knowledge. The rediscovery of an unknown text by Newton or Cantor will not modify classical cosmology or group theory; at most, it will change our appreciation of their historical genesis. Bringing to light, however, *An Outline of Psychoanalysis*, to the extent that we recognize it as a book by Freud, can transform not only our historical knowledge, but the field of psychoanalytic theory—if only through a shift of accent or of the center of gravity. These returns, an important component of discursive practices, form a relationship between “fundamental” and mediate authors, which is not identical to that which links an ordinary text to its immediate author.

These remarks concerning the initiation of discursive practices have been extremely schematic, especially with regard to the opposition I have tried to trace between this initiation and the founding of sciences. The distinction between the two is not readily discernible; moreover, there is no proof that the two procedures are mutually exclusive. My only purpose in setting up this opposition, however, was to show that the “author-function,” sufficiently complex at the level of a book or a series of texts that bear a definite signature, has other determining factors when analysed in terms of larger entities—groups of works or entire disciplines.



Unfortunately, there is a decided absence of positive propositions in this essay, as it applies to analytic procedures or directions for future research, but I ought at least to give the reasons why I attach such importance to a continuation of this work.

Developing a similar analysis could provide the basis for a typology of discourse. A typology of this sort cannot be adequately understood in relation to the grammatical features, formal structures, and objects of discourse, because there undoubtedly exist specific discursive properties or relationships that are irreducible to the rules of grammar and logic and to the laws that govern objects. These properties require investigation if we hope to distinguish the larger categories of discourse. The different forms of relationships (or nonrelationships) that an author can assume are evidently one of these discursive properties.

This form of investigation might also permit the introduction of an historical analysis of discourse. Perhaps the time has come to study not only the expressive value and formal transformations of discourse, but its mode of existence: the modifications and variations, within any culture, of modes of circulation, valorization, attribution, and appropriation. Partially at the expense of themes and concepts that an author places in his work, the “author-function” could also reveal the manner in which discourse is articulated on the basis of social relationships.

Is it not possible to reexamine, as a legitimate extension of this kind of analysis, the privileges of the subject? Clearly, in undertaking an internal and architectonic analysis of a work (whether it be a literary text, a philosophical system, or a scientific work) and in delimiting psychological and biographical references, suspicions arise concerning the absolute nature and creative role of the subject. But the subject should not be entirely abandoned. It should be reconsidered, not to restore the theme of an originating subject, but to seize its functions, its intervention in discourse, and its system of dependencies. We should suspend the typical questions: how does a free subject penetrate the density of things and endow them with meaning; how does it accomplish its design by animating the rules of discourse from within? Rather, we should ask: under what conditions and through what forms can an entity like the subject appear in the order of discourse; what position does it occupy;

what functions does it exhibit; and what rules does it follow in each type of discourse? In short, the subject (and its substitutes) must be stripped of its creative role and analysed as a complex and variable function of discourse.

The author—or what I have called the “author-function”—is undoubtedly only one of the possible specifications of the subject and, considering past historical transformations, it appears that the form, the complexity, and even the existence of this function are far from immutable. We can easily imagine a culture where discourse would circulate without any need for an author. Discourses, whatever their status, form, or value, and regardless of our manner of handling them, would unfold in a pervasive anonymity. No longer the tiresome repetitions:

“Who is the real author?”

“Have we proof of his authenticity and originality?”

“What has he revealed of his most profound self in his language?”

New questions will be heard:

“What are the modes of existence of this discourse?”

“Where does it come from; how is it circulated; who controls it?”

“What placements are determined for possible subjects?”

“Who can fulfill these diverse functions of the subject?”

Behind all these questions we would hear little more than the murmur of indifference:

“What matter who’s speaking?”

## Nietzsche, Genealogy, History

1. Genealogy is gray, meticulous, and patiently documentary. It operates on a field of entangled and confused parchments, on documents that have been scratched over and recopied many times.

On this basis, it is obvious that Paul Ree<sup>1</sup> was wrong to follow the English tendency in describing the history of morality in terms of a linear development—in reducing its entire history and genesis to an exclusive concern for utility. He assumed that words had kept their meaning, that desires still pointed in a single direction, and that ideas retained their logic; and he ignored the fact that the world of speech and desires has known invasions, struggles, plundering, disguises, ploys. From these elements, however, genealogy retrieves an indispensable restraint: it must record the singularity of events outside of any monotonous finality; it must seek them in the most unpromising places, in what we tend to feel is without history—in sentiments, love, conscience, in-

This essay first appeared in *Hommage à Jean Hyppolite* (Paris: Presses Universitaires de France, 1971), pp. 145–72. Along with “Réponse au cercle d’épistémologie,” which became the introductory chapter of *The Archaeology of Knowledge*, this essay represents Foucault’s attempt to explain his relationship to those sources which are fundamental to his development. Its importance, in terms of understanding Foucault’s objectives, cannot be exaggerated. It appears here by permission of Presses Universitaires de France.

1. See Nietzsche’s Preface to *The Genealogy of Morals*, 4, 7—Ed.